

# **EXHIBIT 1**

**UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION**

FRANK CARBONE, ANDREW CORZO,  
SAVANNAH ROSE EKLUND, SIA HENRY,  
ALEXANDER LEO, MICHAEL MAERLENDER,  
BRANDON PIYEVSKY, KARA SAFFRIN, and  
BRITTANY TATIANA WEAVER, individually and on  
behalf of all others similarly situated,

Plaintiffs,

v.

BROWN UNIVERSITY, CALIFORNIA INSTITUTE  
OF TECHNOLOGY, UNIVERSITY OF CHICAGO,  
THE TRUSTEES OF COLUMBIA UNIVERSITY IN  
THE CITY OF NEW YORK, CORNELL  
UNIVERSITY, TRUSTEES OF DARTMOUTH  
COLLEGE, DUKE UNIVERSITY, EMORY  
UNIVERSITY, GEORGETOWN UNIVERSITY, THE  
JOHNS HOPKINS UNIVERSITY, MASSACHUSETTS  
INSTITUTE OF TECHNOLOGY, NORTHWESTERN  
UNIVERSITY, UNIVERSITY OF NOTRE DAME DU  
LAC, THE TRUSTEES OF THE UNIVERSITY OF  
PENNSYLVANIA, WILLIAM MARSH RICE  
UNIVERSITY, VANDERBILT UNIVERSITY, and  
YALE UNIVERSITY,

Defendants.

Case No.: 1:22-cv-00125-MEK

**PLAINTIFFS' FIRST SET OF  
REQUESTS FOR  
PRODUCTION OF  
DOCUMENTS TO  
ALL DEFENDANTS**

PROPOUNDING PARTY: PLAINTIFFS

RESPONDING PARTY: ALL DEFENDANTS

SET NUMBER: ONE (1)

Pursuant to Rule 34 of the Federal Rules of Civil Procedure, Plaintiffs, individually and on behalf of all others similarly situated, request that Defendants Brown University (“Brown”), California Institute of Technology (“CalTech”), University of Chicago (“Chicago”), The Trustees of Columbia University in the City of New York (“Columbia”), Cornell University (“Cornell”), Trustees of Dartmouth College (“Dartmouth”), Duke University (“Duke”), Emory University (“Emory”), The Johns Hopkins University (“Johns Hopkins”), Georgetown University (“Georgetown”), Massachusetts Institute of Technology (“MIT”), Northwestern University (“Northwestern”), University of Notre Dame du Lac (“Notre Dame”), The Trustees of the University of Pennsylvania (“Penn”), William Marsh Rice University (“Rice”), Vanderbilt University (“Vanderbilt”), and Yale University (“Yale”) (collectively, “Defendants,” and as these Requests are directed to each such Defendant, “You” or “Your”) produce the Documents and things described below for inspection and copying at 99 Park Avenue, Suite 1910, New York, New York 10016, within thirty (30) days of service of these discovery requests, or at some mutually-agreeable date, location, and time, where facilities are available for inspection and copying, in accordance with the Definitions and Instructions below. These Requests are continuing in nature. Responsive information discovered subsequent to service of Your responses hereto shall be disclosed through supplemental responses within thirty (30) days of discovery of the information, pursuant to Rule 26(e) of the Federal Rules.

## **I. DEFINITIONS**

1. The definitions and rules of construction set forth in Rule 34 of the Federal Rules of Civil Procedure are hereby incorporated and apply to the Requests for Production herein.

2. “568 Exemption” means the antitrust exemption in Section 568 of the Improving America’s Schools Act of 1994.

3. “568 Group” means the 568 Presidents Group.
4. “568 Group Member” means any institution of higher education that is now or formerly a member of the 568 Group during the Relevant Time Period, including but not limited to all Defendants, and (1) Amherst College, (2) Boston College, (3) Claremont McKenna College, (4) College of the Holy Cross, (5) Davidson College, (6) Grinnell College, (7) Haverford College, (8) Middlebury College, (9) Pomona College, (10) St. John’s College, (11) Swarthmore College, (12) Wellesley College, and (13) Williams College.
5. “Academic Year” means the annual period of sessions of Your institution.
6. The “Action” means the above-captioned action.
7. “Admissions” means the processes or facts of being admitted to or rejected for admission as a Student by a Defendant university.
8. “Admissions Office” means the office, department, or division that is primarily responsible for handling Admission to Your full-time undergraduate program, including but not limited to freshmen Admissions and transfer Admissions.
9. “Applicant” means any person who has submitted an application by any means to Your full-time undergraduate program, whether as a first-year Applicant or a Transfer Applicant.
10. “Admitted Applicant” means any Applicant accepted during any application period (*e.g.*, Early Decision, Early Action, Regular Decision, or off the Waitlist) to your full-time undergraduate program, including as a Transfer Student.
11. “Alumni Relations Offices” means all of Your offices, departments, or divisions that handle alumni relations, including any offices, departments, or divisions that handle both alumni relations and Development functions.
12. “And” and “Or” are terms of inclusion and not exclusion and are to be construed to

bring within the scope of these requests any Documents or responses that might otherwise be considered outside their scope.

13. “Any” should be construed to mean “any and all.”

14. “Certification of Compliance” means any Document intended for use or used by the 568 Group to ensure that any current or prospective 568 Group Members complied with the 568 Exemption. This includes but is not limited to the form on the 568 Group website called “Certification of Compliance with Section 568” or something similar.

15. “COFHE” means the Consortium on Financing Higher Education.

16. “Complaint” means the Amended Class Action Complaint (ECF No. 106) in this Action, or any subsequent operative complaint in this Action.

17. “Concerning” means relating to, pertaining to, referring to, reflecting, referencing, constituting, supporting, contradicting, summarizing, demonstrating, containing, studying, analyzing, considering, explaining, mentioning, identifying, including, showing, discussing, describing, commenting upon, resulting from, prepared for, or used in connection with.

18. “Consensus Methodology,” “Consensus Approach Methodology,” or “CM” has the meaning given to that term by the 568 Group and as used on the 568 Group website.

19. “Consultant” means any natural person, entity, business, or non-profit organization retained to provide consultation on any issue, including but not limited to Admissions, Financial Aid, and Enrollment Management.

20. “Cost of Attendance” means the total annual cost for a Student to attend Your full-time undergraduate program. This includes, but is not limited to, Tuition, fees, cost of Room and Board (or living expenses), cost of books, supplies, transportation, loan fees, and miscellaneous expenses (including a reasonable amount for the documented cost of a personal computer,

allowance for childcare or other dependent care, costs Concerning a disability, and reasonable costs for eligible study-abroad programs).

21. “CSS Profile” is the College Scholarship Service online application used by colleges and scholarship programs to award certain Financial Aid and is administered by the College Board.

22. “Dean’s Interest List” is any list or compilation of Applicants the Admissions Office uses to identify Applicants who are connected to existing Donors, potential Donors, celebrities, and other public figures.

23. “Defendants” means parties named as defendants in this Action.

24. “Development” means activities and services Concerning fundraising, philanthropy, Donor cultivation, and alumni relations.

25. “Development Office” means all of Your offices, departments, or divisions that handle Development.

26. “Discount” means any reduction in the standard Tuition or Cost of Attendance.

27. “Document” shall have the same meaning as used in Rule 34 of the Federal Rules of Civil Procedure and shall be construed in its broadest sense to include, without limitation, the final form and all drafts and revisions of any paper or other substance or thing, original or reproduced, and all copies thereof that are different in any way from the original, on which any words, letters, numbers, symbols, pictures, graphics, or any other forms of information are written, typed, printed, inscribed, or otherwise visibly show, and also every other form of stored or recorded information, whether on film, tape disks, cards, computer memories, or any other medium or device whereby stored information can, by any means whatsoever, be printed or otherwise recovered, generated or displayed in the form of visible, audible, or otherwise perceptible words,

letters, numbers, symbols, pictures, or graphics. To illustrate (and not to limit) the breadth of this definition, “Document” in this sense includes papers or objects bearing handwritten notes, materials written in Braille, contracts, letters, bills, telegrams, notes, e-mails, text messages, instant messages, voicemail messages, books, desk calendars, electronic calendars, memoranda, envelopes, drafts or partial copies of anything, signs, photographic negatives and prints, video and audio recordings of all kind, and the contents of storage media used in data processing systems. “Document” also includes any communications, without limitation, that reflect exchanges of thoughts, messages, or information, as by speech, signals, writing, or behavior, including any advice, advisement, announcement, articulation, assertion, contact, conversations, written or electronic correspondence, declaration, discussion, dissemination, elucidation, expression, interchange, memoranda, notes, publication, reception, revelation, talk, transfer, transmission, or utterance. The phrase “communication between” is defined to include instances where one party addresses the other party but the other party does not necessarily respond. Each and every draft of a Document is a separate Document for purposes of these Document requests.

28. “Donation” includes but is not limited to restricted or unrestricted cash gifts, non-cash gifts, matching gifts, gifts of stock, bonds, securities, or business interests, bequests, gifts of real property, gifts of personal property, gifts of retirement plans, gifts of life insurance, gifts of copyrights, gifts of royalties, gifts of patents, assignments of contractual income rights, gifts of oil and gas interests, one-time gifts, recurring gifts, planned gifts, life income gifts, or in-kind donations. Donation also includes any gifts resulting in an “endowed chair” or similar honorific.

29. “Donor” means any person who has made, makes, or communicates an oral or written intention to make a Donation to You.

30. “Early Action” refers to any non-binding first-year Admissions program with a

deadline before that of Regular Decision that does not require an Admitted Applicant to attend that school. This includes, but is not limited to, unrestricted early action, single choice early action, restrictive early action, and rolling Admissions.

31. “Early Admissions Program” means any application process with a deadline prior to that of Regular Decision, including but not limited to, Early Action and Early Decision.

32. “Early Decision” means a binding application process with a deadline prior to that of Regular Decision that restricts the other schools to which an Applicant may apply and requires an Admitted Applicant to matriculate.

33. “Electronic Format” means a data storage format that includes delimited text files (e.g., pipe-limited or tab delimited files) or fixed-field text data, common forms in which data are imported into or exported from database management systems. For purposes of this Request, delimited text files shall refer to only pipe-delimited or tab-delimited formats. Comma-delimited formats shall be excluded so as to avoid any confusion between delimiters and characters that may occur naturally within a data field.

34. “Enforcement Mechanism” means any process for taking action and/or any action taken in response to suspected or actual knowledge that a 568 Group Member was not complying with any rule, guidance, standard, or requirement of membership for the 568 Group, including but not limited to compliance with the 568 Exemption.

35. “Enrollment Management” encompasses all practices, policies, strategies, Enrollment Management Software, and tactics used to shape the enrollment of an undergraduate class and meet established goals, including but not limited to the use of marketing, Admission policies, retention, and Financial Aid to achieve revenue and budget goals.

36. “Enrollment Management Software” means any computer program, algorithm, or



application used by Your institution for Enrollment Management.

37. “Expected Family Contribution” or “EFC” means any computations by any of Your Internal Financial Aid Formula(e), the Consensus Methodology, the Institutional Methodology, or the Federal Methodology that represents a financial computation, estimate, or determination of Applicants’, Students’, or their families’ ability to pay the Cost of Attendance.

38. “Federal Methodology” or “FM” means the standardized method used by the U.S. Department of Education for determining, estimating, or computing Applicants’ and their families’ ability to pay for postsecondary education expenses. The Federal Methodology is used to determine, estimate, or compute eligibility for Pell Grants, Federal Supplemental Educational Opportunity Grants (FSEOGs), Federal Work-Study programs, and federal loan programs.

39. “Federal Supplemental Education Opportunity Grant” or “FSEOG” means Gift Aid provided by the federal government to Students with exceptional financial need and only at participating institutions.

40. “Federal Work-Study” means the federal program that subsidizes the salaries for part-time jobs for undergraduate and graduate students with financial need, allowing them to earn money to pay education expenses.

41. “Financial Aid” means any Discounts, grants, Loans, work-study programs, or scholarships available to assist Students in paying for higher education and which are offered on the basis of estimates, determinations, or computations of Students’ financial need.

42. “Financial Aid Applicant” means any Applicant or Student who has submitted a Financial Aid Application.

43. “Financial Aid Application” means all the Documents required by or considered by You in awarding Need-Based Financial Aid, including Gift Aid. This includes but is not limited

to the FAFSA, the CSS Profile, and any supplemental forms You require from Applicants seeking any financial assistance, including Financial Aid, Loans, or Federal Work-Study.

44. “Financial Aid Formula” or “Financial Aid Formulae” means formula(e) used to determine, compute, or estimate an Applicant’s, Student’s, parent’s, or family’s ability to pay the Cost of Attendance. This may or may not include elements of or be coextensive with the Federal Methodology, Institutional Methodology, or Consensus Methodology.

45. “Financial Aid Package” means the types of (e.g., Discounts, grants, Loans, work-study) and total amount of Financial Aid (both federal and nonfederal) an Admitted Applicant or Student is offered by a college or university for a given Academic Year.

46. “Financial Circumstances” means the financial resources or financial status of Applicants or that of their families. Resources or status may be reflected by current or past occupations, income, net worth, assets, investments, businesses, Donation history, fundraising history, zip codes, homes (including images of homes), educational history, expressed intention to apply for Financial Aid, or other financial background indicators.

47. “Free Application for Federal Student Aid” or “FAFSA” is the application form for all federal Financial Aid.

48. “Gift Aid” means all need-based grants, scholarships, or other gift assistance from You or a federal or state government entity that do not need to be earned or repaid by Students or their families. Financial Aid excludes Loans, self-help, work-study, or similar forms of assistance that require work or repayment.

49. “Input” means any piece of information or data used to determine an Applicant’s financial need, eligibility for any need-based assistance programs, or Expected Family Contribution under the Consensus Methodology, Federal Methodology, Institutional

Methodology, or Your Internal Financial Aid Formula(e). This includes but is not limited to all information contained in an Applicant's FAFSA, Student Aid Report ("SAR"), CSS Profile, or any other supplemental Financial Aid Application forms.

50. "Institutional Methodology" or "IM" means the formula(e) developed and maintained by the College Board that determines, computes, estimates, or quantifies a family's ability to pay for higher education based on data included in an Applicant's CSS Profile application. This/these formula(e) may be customizable or adjustable.

51. "Internal Financial Aid Formula(e)" means the Financial Aid Formula(e) You use to determine, estimate, compute, or quantify an Admitted Applicant's ability to pay the Cost of Attendance. This may or may not include elements of or be coextensive with the Federal Methodology, Institutional Methodology, or Consensus Methodology.

52. "Landscape" means the tool created by the College Board designed to help institutions understand the high schools attended by Applicants and prospective Applicants and the neighborhoods in which they reside.

53. "Loans" mean any money lent to Students or their families by You, the federal government, a state government, a bank, or another financial institution. These include but are not limited to, Direct Subsidized Loans, Direct Unsubsidized Loans, Perkins Loans, and Parent PLUS Loans.

54. "Merit Aid" means all scholarships and grants awarded on the basis of anything other than an Applicant or Student's financial need or circumstances. Merit Aid includes but is not limited to awards based on academic, athletic, and artistic talent.

55. "Need-Aware" means an Admissions process that may consider Applicants' and their families' Financial Circumstances in the decision of whether to admit them.

56. “Need Analysis Council” means a committee or council of the 568 Group that reviews the activities of the 568 Group over the previous Admissions cycle and plans for the future.

57. “Net Price” means the total annual cost paid by Students at an undergraduate educational institution after subtracting any Gift Aid and Merit Aid.

58. “Office of Institutional Research” means any branch, division, department, or office of Your institution primarily responsible for collecting and analyzing information about Your institution that is disseminated to the public and/or supports data-driven decision-making by Your institution.

59. “Output” means resulting calculation from Inputs, including but not limited to the Applicant’s ability to pay or any EFC calculation.

60. “Overlap Agreement” means the standards of conduct agreement reached in MIT’s settlement with the United States in *United States v. Brown*, 5 F.3d 658 (3d Cir. 1993).

61. “Parent Leadership Council” means any officially recognized group of parents of Students and parents of alumni of Your institution for whom a minimum Donation is expected or required for membership. Such examples include but are not limited to Brown’s Parent Leadership Council, Caltech’s Parents Fund, University of Chicago’s Dean’s Parent and Family Council, Columbia’s Parent Leadership Council, Cornell’s Parents Committee, Dartmouth’s Family Fellows Society, Emory’s Parent Leadership Board, Georgetown’s Parents Leadership Council, Johns Hopkins’s Parents Leadership Circle, Northwestern’s Family Advisory Council, Penn’s Parents Council, Rice’s Parents Leadership Council, Vanderbilt’s Parents Leadership Committee, and Yale’s Parents Leadership Council.

62. “Peer Institution” is any institution of higher education You consider or have ever designated internally or externally as a similar and/or competing institution or otherwise

reasonably comparable to Your institution.

63. “Pell Grant” means federal Gift Aid awarded only to undergraduate students who display exceptional financial need and have not earned a bachelor’s, graduate, or professional degree.

64. “President” means the president or other chief executive officer of Your institution at any point during the Relevant Time Period.

65. “Regular Decision” means the normal process by which Applicants apply for Admissions by the standard institutional deadline and without any commitment to attend the institution to which the Applicant applied if admitted.

66. “Restricted Donation” means a Donation to Your institution in which the Donor restricts the use to a particular purpose.

67. “Room and Board” means the official cost of living either on or off campus and feeding oneself either independently or through a meal plan for the duration of the Academic Year for an undergraduate Student at Your institution. For instance, the annual dormitory charge plus the cost of the annual dining plan would constitute Room and Board, as would the combination of the allowance for off-campus housing and dining.

68. “Steering Committee” means a committee of the 568 Group charged with overseeing the ongoing work of the 568 Group.

69. “Student” means an individual enrolled in your full-time undergraduate program for any semester or portion of any semester during the Relevant Time Period.

70. “Student Aid Report” or “SAR” means the report generated after an Applicant submits the FAFSA that summarizes the information reported and includes the federal EFC and estimated eligibility for federal student loan programs and Pell Grants.

71. “Tag” means any label, flag, notation, or other indicia associated with an Applicant’s application that is designed to communicate special consideration or preferential treatment in the Admissions process.

72. “Technical Committee” or “Technical Advisory Committee” means a committee or subdivision of the 568 Group that makes specific recommendations Concerning changes and updates in the Consensus Methodology.

73. “Transfer Applicant” means any person applying to Your institution through Your transfer Admissions process, as defined by You. An “Admitted Transfer Applicant” is a Transfer Applicant that You have admitted.

74. “Tuition” means the instructional fee charged to full-time undergraduate Students. To the extent You permit undergraduates to enroll on a part-time basis, Tuition means the instructional fee per course or credit hour.

75. “Unrestricted Donation” means a Donation to Your institution in which the Donor does not restrict the use to a particular purpose.

76. “You” and “Your” means each Defendant to whom this set of Requests for Production is addressed, including all divisions, departments, wholly owned or controlled subsidiaries or affiliates, other subsidiaries, parents, joint ventures, branches, predecessors in interest, successors in interest, current and former employees, agents, attorneys, representatives, and all other persons acting on behalf of, or at the direction of, any such entity.

77. “Waitlist” means a list of Applicants who have neither been rejected nor accepted during Your institution’s regular Admissions cycle (typically ending on or around April 1 of each year) and may be re-considered for Admission. The term “Waitlisted” refers to Applicants on such a Waitlist. An “Admitted Waitlist Applicant” is any Applicant You admitted off the Waitlist.

78. “Z List” means a list or compilation of Applicants admitted to Your institution who are required to defer attendance for a year or semester as a condition of their Admission.

## **II. INSTRUCTIONS**

1. In addition to the requirements set forth in the Federal Rules of Civil Procedure, the following instructions apply to each of the requests set forth herein and are deemed to be incorporated in each of them.

2. In responding to these requests, all Documents shall be produced in accordance with Rules 26 and 34 of the Federal Rules of Civil Procedure.

3. Pursuant to Rules 26 and 34 of the Federal Rules of Civil Procedure, You are required to produce Documents in Your possession, custody, or control, regardless of whether such Documents or materials are possessed directly by You or Your officers, directors, employees, partners, corporate parent, subsidiaries or affiliates. A Document shall be deemed to be within Your control if You have the right to secure the Document or a copy of the Document from another person having possession or custody of the Document.

4. The terms defined above and the individual requests below should be construed broadly to the fullest extent of their meaning in a good-faith effort to comply with Rules 26 and 34 of the Federal Rules of Civil Procedure.

5. Unless words or terms have been given a specific definition herein, each word or term used herein shall be given its usual and customary dictionary definition, except where such words have a usual custom and usage definition in Your trade or industry, in which case they shall be interpreted in accordance with such usual custom and usage definition of which You are aware.

6. For purposes of reading, interpreting, or construing the scope of these requests,

the terms used shall be given their most expansive and inclusive interpretation.

7. In order to bring within the scope these Requests for Production, all information that might otherwise be construed to be outside of their scope, the following rules of construction apply: (a) the singular shall include the plural and vice versa; (b) the masculine, feminine, or neuter pronoun shall not exclude other genders; (c) the connectors “and” and “or” shall be read either disjunctively or conjunctively as necessary to bring within the scope of these Requests for Production all responses that might otherwise be construed to be outside their scope; (d) the terms “any,” “all,” or “each” shall be read to mean any, all, each, and every; (e) the word “including” shall be read to mean including without limitation; (f) the present tense shall be construed to include the past tense and *vice versa*; and (g) references to employees, officers, directors, or agents shall include both current and form employees, officers, directors, and agents.

8. Unless otherwise stated, these Requests seek all responsive Documents created, modified, maintained, transmitted, and/or generated during the Relevant Time Period, as well as all responsive Documents created, modified, maintained, transmitted, and/or generated outside Relevant Time Period, but which contain information Concerning the Relevant Time Period.

9. These Requests for Production call for the production of Documents that are in the actual or constructive possession, custody, or control of You, regardless of location, including in the possession, custody, or control of any current or former attorney(s), Consultant(s), expert(s), and agent(s).

10. All Documents must be produced in their entirety, including all attachments and enclosures. With respect to Documents that are maintained in the usual course of business in paper, all Documents must be produced in their original folder, binder, or other cover or



container, regardless of whether You consider the entire Document to be relevant or responsive to the request. Whenever a Document or group of Documents is removed from a file folder, binder, file drawer, file box, notebook, or other cover or container, a copy of the label of such cover or other container must be attached to the Document or group of Documents.

11. For each Document produced, identify the Document request number(s) to which the Document is responsive.

12. Documents shall be produced in such fashion as to identify the department, branch, or office in whose possession they were located and, where applicable, the natural person in whose possession they were found.

13. With respect to electronically stored information (“ESI”) formatting and production instructions, production shall be made in the manner and format set forth in the ESI protocol entered by the Court.

14. If any responsive Document was at any time but is no longer in Your possession or subject to Your control, provide the following information:

- a. the type of Document;
- b. the type of information contained therein;
- c. the identity of all persons having knowledge of the contents of such Document;
- d. the Document request number(s) to which the Document would have been responsive;
- e. whether the Document is missing or lost;
- f. whether the Document has been destroyed;
- g. whether the Document has been transferred voluntarily or involuntarily to

others and, if so, at whose request;

- h. whether the Document has been otherwise disposed of;
- i. a precise statement of the circumstances surrounding the disposition of the Document and the date of its disposition; and
- j. the name(s) and address(es) of the Document's current or last known custodian(s).

15. If objection is made to any request or any portion thereof, the request or portion thereof shall be specified and, as to each, all reasons for objection shall be stated fully.

Documents responsive to the portion of the request to which no objection is made shall be produced in full. Moreover, if objection is made to any request or any portion thereof on the ground that it is "overbroad" or "unduly burdensome," You shall not be excused from producing Documents responsive to the request or portion altogether, but shall produce Documents responsive to the request or portion to whatever extent You are able without waiving Your objections.

16. If in the course of responding to these Requests for Production, You encounter any ambiguity in the Requests for Production, in a definition, or in an instruction relevant to the Requests for Production, explain what You find to be ambiguous and what construction You used in providing Your response.

17. If any responsive Documents are withheld or redacted under a claim of attorney-client privilege, attorney work-product doctrine, or any other privilege or immunity from discovery, You are requested to provide the information required by Federal Rule of Civil Procedure 26(b)(5).

18. If a portion of any responsive Document is withheld under a claim of privilege

pursuant to the preceding instruction, any non-privileged portion of such Document must be produced with the portion claimed to be privileged redacted.

19. The specificity of any Request herein shall not be construed to limit the generality or reach of any other Request herein.

20. These Document Requests are continuing in nature and require supplemental responses as specified in Federal Rule of Civil Procedure 26(e) if You (or any person acting on Your behalf) obtain additional Documents or information called for by these Requests between the time of the original response and the time set for trial. Each supplemental response shall be served on Plaintiffs no later than 14 days after the discovery of additional, responsive Documents or information, and in no event shall any supplemental response be served later than the end of the fact discovery period in the operative case management order.

### **III. RELEVANT TIME PERIOD**

Unless otherwise noted herein, the relevant time period of these Document requests is January 1, 1994 (inclusive) through the present (the “Relevant Time Period”). These Requests seek all responsive Documents created or generated during the Relevant Time Period, as well as responsive Documents created or generated outside the Relevant Time Period, but which contain information Concerning the Relevant Time Period.

### **IV. DOCUMENT REQUESTS**

#### **I. Documents Concerning Student Data**

**Request for Production No. 1:** Documents sufficient to show for each Academic Year during the Relevant Time Period:

- a. the number of Applicants;
- b. the number of Admitted Applicants;

- c. the number of Applicants You placed on a Waitlist;
- d. the number of Admitted Applicants who enrolled as Students;
- e. the number of Students in each class in each of the four years of Your undergraduate program;
- f. the number of Students in each class of the four years of Your undergraduate program enrolled in any schools, colleges, or programs with unique Admissions processes, including but not limited to Columbia University School of General Studies, Oxford College at Emory University, the University of Pennsylvania School of Liberal and Professional Studies, the Brown University Resumed Undergraduate Education program, the Georgetown University School of Continuing Studies Bachelor's Completion Program, the Duke University Continuing Studies program for degree-seeking candidates, and the Yale University Eli Whitney Students Program;
- g. the number of Transfer Applicants;
- h. the number of Admitted Transfer Applicants;
- i. the average Financial Aid Package You extended to Admitted Applicants;
- j. the average Financial Aid Package You extended to Admitted Transfer Applicants;
- k. the average Net Price of each Admitted Applicant;
- l. the average Net Price of each Admitted Waitlist Applicant; and
- m. the average Net Price of each Admitted Transfer Applicant.

**Request for Production No. 2:** For each Financial Aid Applicant during the Relevant Time

Period, all data and information from each Financial Aid Applicant's SAR, CSS Profile, or any other Financial Aid application, for each Academic Year beginning when the Financial Aid Applicant initially applied to Your full-time undergraduate program through every Academic Year the Financial Aid Applicant continued enrollment beyond the initial Academic Year of matriculation. Such data, provided in Electronic Format include but are not limited to:

- a. from the SAR, if applicable, any common identifier, including Federal Methodology (FM), EFC, data release number ("DRN"), and last four digits of the Applicant's social security number;
- b. from the CSS Profile, if applicable, any College Board Financial Aid Number (CBFinAid ID) or other means of uniquely identifying the Applicant;
- c. the Student's full name;
- d. all Applicant ID numbers received, created, or otherwise used by Your institution;
- e. the applicable Academic Year;
- f. the Admitted Applicant's or Student's applications to, Admission decisions by, and Financial Aid offers from other institutions;
- g. the Admitted Applicant's or Student's family financial information, including income, assets, and benefits;
- h. the Admitted Applicant's or Student's family size, including the number of family members who will be attending college during the applicable Academic Year; and
- i. any other data collected for the purpose of, considered in, or relied upon

for making any Financial Aid determination, including but not limited to the packaging of Financial Aid (i.e. mix of Loans, Gift Aid, and work-study).

**Request for Production No. 3:** All Documents Concerning the effect of the following factors on the decisions of Admitted Applicants to attend Your undergraduate institution:

- a. changes in Your Net Price and/or changes in other undergraduate institutions' Net Prices;
- b. other institutions' pricing policies; and/or
- c. Your or other institutions' Financial Aid policies, including but not limited to any reports or memoranda exchanged recommending changes to your prices, Net Prices, Costs of Attendance, and/or Financial Aid policies in light of changes or announcements by other institutions.

**Request for Production No. 4:** For each Financial Aid Applicant to Your full-time undergraduate program during the Relevant Time Period, all data and information contained in any (a) Financial Aid management software database or platform or (b) Admissions and Enrollment Management Software, database, or platform, with such data to be provided in the Electronic Format in which such data were received and/or subsequently stored if such data were imported or otherwise integrated into Your databases.

**Request for Production No. 5:** To the extent not provided in response to one of the Requests above, for each Financial Aid Applicant to Your full-time undergraduate program during the Relevant Time Period, provided in the Electronic Format in which such data were received and/or subsequently stored if such data were imported or otherwise integrated into Your databases:

- a. All Applicant ID numbers received, created, or otherwise used by Your institution;
- b. the Academic Year of the Financial Aid Applicant's Financial Aid Application;
- c. the date of the Admissions application;
- d. the date of the Financial Aid Application;
- e. each Financial Aid Applicant's identification number;
- f. if a Financial Aid Applicant is a returning Student, the Student identification number or other identification number(s) maintained, created, or used by Your institution.
- g. the Applicant's full name;
- h. the Applicant's age;
- i. the Applicant's race;
- j. the Applicant's ethnicity;
- k. the admittance status of the Applicant at Your institution and any other institution;
- l. any information Concerning the Financial Aid Applicant's actual or potential Financial Aid, including whether the Applicant applied for Financial Aid;
- m. whether the Applicant applied for any Early Admissions Program, Regular Decision, as a Transfer, or was placed on a Waitlist;
- n. whether the Applicant had any family member who attended Your institution;

- o. whether any of the Applicant's parents were or are faculty or otherwise employed at Your institution;
- p. whether the Applicant was considered eligible for any preferential admission on the basis of the Applicant's lack of need for Financial Aid or because of the Applicant's family's capacity to make a substantial Donation; and
- q. any other data considered in connection with the Applicant's application.

**Request for Production No. 6:** Any and all common identifiers that You have received, maintained, or used that permit matching an Applicant or Student across post-secondary institutions to which the Applicant or Student may have applied for Admissions and/or Financial Aid, including but not limited to common identifiers You have obtained from outside sources such as the U.S. Department of Education, the College Board, or the Student or Student's family.

**Request for Production No. 7:** For all Financial Aid Applicants during the Relevant Time Period, all data, information and/or formulae, including Your Internal Financial Aid Formulae, maintained, created, or used by You to evaluate a Financial Aid Applicant's Financial Aid eligibility and Financial Aid Package for each Academic Year beginning when the Applicant initially applied for Your full-time undergraduate program through every Academic Year the Student continued enrollment or otherwise submitted a Financial Aid Application beyond the initial Academic Year of matriculation. Such data, provided in Electronic Format, include but are not limited to:

- a. the Applicant's IM EFC;
- b. the Applicant's FM EFC
- c. the Applicant's EFC For Your Institutional Aid Formulae;



- d. all factors used in the determination of the IM EFC, including any and all formula(e) used;
- e. all factors used in the determination of the FM EFC, including any and all formula(e) used;
- f. all factors used in the determination of the EFC for Your Institutional Aid Formulae;
- g. all forms of Financial Aid offered to the Applicant, including but not limited to federal, institutional aid, and work-study programs; and
- h. any data identifying any individual eligible for an FSEOG but who did not receive such funds because the institution had reached or exceeded its allotment.

**Request for Production No. 8:** Documents sufficient to show the median or average family income of Your Students each Academic Year during the Relevant Time Period.

**Request for Production No. 9:** Documents sufficient to show the distribution of Your Students, by income of their families, during the Relevant Time Period.

**Request for Production No. 10:** Documents sufficient to show the median or average family income of Students enrolled in any schools, colleges, or programs with unique Admissions processes, including but not limited to Columbia University School of General Studies, Oxford College at Emory University, the University of Pennsylvania School of Liberal and Professional Studies, the Brown University Resumed Undergraduate Education program, the Georgetown University School of Continuing Studies Bachelor's Completion Program, the Duke University Continuing Studies program for degree-seeking candidates, and the Yale University Eli Whitney Students Program.

**Request for Production No. 11:** Documents sufficient to identify the number of Applicants placed on a Waitlist and the number of Students admitted off the Waitlist each Academic Year during the Relevant Time Period.

**Request for Production No. 12:** For all Admitted Waitlist Applicants, Documents sufficient to identify the Admitted Waitlisted Applicant, whether the Admitted Waitlisted Applicant sought Financial Aid, and any Financial Aid Package offered to or awarded to the Admitted Applicant.

**Request for Production No. 13:** Documents sufficient to identify the number of Transfer Applicants and Transfer Students each during the Relevant Time Period.

**Request for Production No. 14:** For all Admitted Transfer Applicants, Admissions Documents sufficient to identify the Admitted Applicant and all Documents Concerning whether the Admitted Transfer Applicant sought Financial Aid and any Financial Aid Package offered to or awarded to the Admitted Transfer Applicant.

**Request for Production No. 15:** For each Academic Year during the Relevant Time Period, Documents sufficient to show the percentage of Students in Your full-time undergraduate programs whose official residence is not the state in which Your full-time undergraduate program is located.

**Request for Production No. 16:** For each and every Applicant and Student during the Relevant Time Period, all data Concerning Your calculation of each Applicant's Net Price of attendance quoted and charged to them, and all components of the Net Price, for each Academic Year beginning when the Applicant initially applied for Your full-time undergraduate program through every Academic Year the Student continued enrollment beyond the initial Academic Year of matriculation. Such data shall be provided in the Electronic Format in which such data were received and/or subsequently stored if such data were imported or otherwise integrated into

Your databases, and shall include the amount, date, transaction ID, whether it is a charge or credit, and charge or credit type for the following:

- a. each Cost-of-Attendance-related charge applied to the Student's account, including (but not limited to) Tuition, Room and Board fees, authorized on-campus or off-campus living expenses, and activity fees;
- b. each credit applied to the Student's account, including but not limited to any institutional aid, federal aid, parent Loans, and scholarships from sources other than You or the federal government;
- c. each disbursement You made to the Student; and
- d. for any Student who withdrew from the institution, each return of Title IV funds (R2T4) calculated.

**Request for Production No. 17:** All formulae used for the calculation of Net Price each Academic Year during the Relevant Time Period.

**Request for Production No. 18:** To the extent not captured elsewhere in these Requests for Production, all data collected from each Financial Aid Applicant that serve as an Input into such formulae.

**Request for Production No. 19:** The Net Price for each Financial Aid Applicant each Academic Year during the Relevant Time Period.

## **II. Documents Concerning Donor Data**

**Request for Production No. 20:** Documents sufficient to show all Donations cumulatively valued at \$50,000 or more made by families of Admitted Applicants during the period five years prior to when the Admitted Applicants were admitted. For Admitted Applicants who matriculated, this Request also seeks all Documents Concerning Donations made by them, on

their behalf, or by their families between the Students' matriculation and the five years following their graduation.

**Request for Production No. 21:** Documents sufficient to identify all members of Your Parent Leadership Council or any other of Your Donor groups or societies. Such Parent Leadership Councils and Donor groups or societies include but are not limited to the Caltech President's Circle, Cornell Family Fellows, MIT Parent Leadership Circle, and Notre Dame Billiard Circle.

**Request for Production No. 22:** With respect to the list of individuals in Appendix 1, all Documents in your Development Office or Admissions Office Concerning any actual or potential Donation to You by such individuals, as well as all Documents in your Development Office or Admissions Office Concerning any Applicants who are identified in any files, records, databases, or software used by your Development Office as children, relatives, or friends of such individuals.

**Request for Production No. 23:** All Documents or database entries Concerning awareness by the Development Office of any Applicant at any time prior to that Applicant's matriculation at Your institution.

### **III. 568 Group-Related Documents**

**Request for Production No. 24:** All Documents Concerning the 568 Group, the 568 Group's leadership, and the 568 Group's policies, practices, and procedures. This Request includes any internal communications, including but not limited to those via email, text message, instant message, and memorandum.

**Request for Production No. 25:** Documents sufficient to show the 568 Group's organizational structure, including any organizational charts, articles of incorporation, bylaws, handbooks, memoranda of understanding, leaders or leadership structures, committees (including but not

limited to the Steering Committee, Technical Committee, and Needs Analysis Council), subcommittees, membership lists of such committees and subcommittees, rules or standards of conduct for 568 Group Members, annual dues requirements, membership criteria, member lists, Certifications of Compliance, and any Enforcement Mechanisms.

**Request for Production No. 26:** All Documents Concerning the participation of non 568 Group Members in the 568 Group, including non-member attendance at any 568 Group-related meetings, 568 Group Documents provided to non-members involved with the 568 Group, and Documents received by the 568 Group by any non-member. This Request includes all Documents supporting the statement in Columbia's answer that non-member institutions have attended meetings of the 568 Group and Documents sufficient to identify those non-members.

**Request for Production No. 27:** All Documents, including drafts, that You received from the 568 Group, Technical Committee, Needs Analysis Council, and Steering Committee and All Documents sent or distributed by one or more 568 Group Members to the 568 Group, its Technical Committee, its Needs Analysis Council, and its Steering Committee.

**Request for Production No. 28:** All Documents Concerning the admission, induction, or acceptance of colleges or universities as 568 Group Members, including any admissions criteria, application procedures, membership agreements (including memoranda of understanding and Certifications of Compliance), and whether and why any interested institutions were offered or denied membership by the 568 Group, or whether and why institutions may have declined membership after being offered membership by the 568 Group.

**Request for Production No. 29:** All Documents Concerning the Consensus Methodology including: (a) its development; (b) any proposed or implemented changes since its inception, including the effects of such changes on 568 Group Members or any of them; (c) comparisons of

the Consensus Methodology to the Institutional Methodology, Federal Methodology, any 568 Group Member's Financial Aid methodology or practice(s), or any other Financial Aid methodology or practice(s); (d) studies or analyses of the impact of the Consensus Methodology on Financial Aid or Tuition; (e) rules or regulations Concerning 568 Group Members' implementation of the Consensus Methodology or Financial Aid methodologies or practices; (f) Documents used to train any person in the use, application, or understanding of the Consensus Methodology; and (g) marketing, advertising, or public relations material Concerning the Consensus Methodology.

**Request for Production No. 30:** All Documents Concerning:

- a. how the 568 Group has defined the term "need-blind"; and
- b. how the 568 Group communicated requirements for 568 Group Members to be "need-blind" under its standards,

including all memoranda of understanding and Certifications of Compliance; any auditing or similar efforts to ensure that 568 Group Members complied with the 568 Group's "need-blind" standard; any Enforcement Mechanisms contemplated or action actually taken against members for failing to comply with the 568 Group's "need-blind" standard; and any Documents Concerning the treatment of Waitlisted Applicants and Transfer Applicants with respect to being "need-blind" under the 568 Group's standard.

**Request for Production No. 31:** All Documents Concerning the 568 Group that also Concern the actual or potential preferential treatment of Applicants from families capable of making substantial Donations; any Documents Concerning actual or potential preferential treatment of Applicants who did not need Financial Aid; and any discussions of Enrollment Management, including any efforts, plans, or proposals to craft the composition of classes at 568 Group

Member institutions to achieve revenue or other financial goals.

**Request for Production No. 32:** All Documents generated by the 568 Group Concerning operations, policies, proposals, administration, or plans of the 568 Group, including but not limited to calendars, meeting dates, meeting agendas, lists of meeting attendees, and meeting minutes from the 568 Group, the Steering Committee, the Technical Committee, the Needs Analysis Council, and any other committees or subcommittees.

**Request for Production No. 33:** All Documents Concerning the Technical Committee's recommendations with respect to the Consensus Methodology or any changes that the 568 Group should consider making to the Consensus Methodology.

**Request for Production No. 34:** All Documents Concerning the applicability of the Consensus Methodology and any other agreement of the 568 Group to first-year Students versus non-first-year Students at Your undergraduate institution.

**Request for Production No. 35:** All Documents Concerning Footnote 2 in the 2016 Memorandum of Understanding of the 568 Presidents' Group, [http://www.568group.org/home/sites/default/files/568\\_MOU\\_2016\\_Final.pdf](http://www.568group.org/home/sites/default/files/568_MOU_2016_Final.pdf), stating that “[a]n agreement reached with the U.S. Department of Justice in 1993 allows institutions to be need aware with admitted wait list student (sic) so long as they meet the full need of all Admitted Applicants,” including a signed or executed agreement, and any similar Documents Concerning the permissibility of admitting Waitlisted, transfer, and nontraditional Applicants on a Need-Aware basis under 568 Exemption.

**Request for Production No. 36:** All Documents Concerning the College Board's involvement with the 568 Group, including but not limited to Documents Concerning the following statement contained in the 568 Presidents Group Consensus Methodology Policy Guidelines: “Where

possible, the professional expertise and program services of the College Scholarship Service (CSS) of the College Board shall be used as a resource to advance the implementation of this Consensus Methodology. In addition to their long-standing role as the primary data collection agency, the College Board is invited, where appropriate, to assist with modeling of various recommendations in order to assess their impact on both families and institutions.”

**Request for Production No. 37:** All Documents Concerning the 568 Group’s membership in, participation in, or affiliation with any professional organizations or consortia, including but not limited to COFHE. This Request includes All Documents Concerning communications between the 568 Group and COFHE, or between any 568 Group Member and COFHE, and all Documents Concerning the qualifications to become a member of COFHE.

**Request for Production No. 38:** All Documents Concerning communications among 568 Group Members and governmental entities regarding Financial Aid, including but not limited to Financial Aid policies, Financial Aid practices, and Financial Aid Packages. “Government entities” include but are not limited to the U.S. Department of Justice and the U.S. Department of Education.

**Request for Production No. 39:** All Documents Concerning data exchanged between or among 568 Group Members and/or between You and the 568 Group or its membership, including but not limited to the sharing of data or other information related to Financial Aid formula(e), Financial Aid policies, Financial Aid packages for Students and Admitted Applicants, and Admissions decisions of Applicants.

**Request for Production No. 40:** All Documents Concerning the 568 Group’s antitrust policies, guidelines, trainings, and public relations materials including analyses of the 568 Group’s compliance with the 568 Exemption and any analyses of the Overlap Agreement reached as part



of the case known as *United States v. Brown*, 5 F.3d 658 (3d Cir. 1993).

**IV. Documents Specifically Pertaining to Each of the Defendants**

**Request for Production No. 41:** Documents sufficient to show Your organizational structure, including Your directors, officers, deans, and employees involved in, and Your departments, divisions, affiliates, or contractors engaged in (a) the Admission of undergraduate Students to Your institution, (b) the solicitation and management of Donations and gifts to Your institution or any of its subdivisions or component entities, (c) the development of budgets, and (d) institutional research and competitive analysis. This Request includes organizational charts and Documents sufficient to identify each employee or contractor with responsibilities for undergraduate Admissions, Enrollment Management, Development and Donor relations, alumni relations, finance and investments, the coordination of the Development office and the Admissions office, and institutional research.

**Request for Production No. 42:** All Documents Concerning Your decision(s) to join, leave, purportedly withdraw from, or continue participating in the 568 Group at any time or times during the Relevant Time Period. This Request includes all communications, internal or with third parties, about such decisions, including communications with counsel other than those solely between You and Your counsel.

**Request for Production No. 43:** All Documents Concerning Your communications with any 568 Group Member Concerning (a) Admission of Students, (b) cost of Tuition, (c) Financial Aid programs or packages, and (d) need-blind (however You define that term) Admissions practices and/or (e) the Consensus Methodology or implementation of the Consensus Methodology or similar Financial Aid formulae.

**Request for Production No. 44:** All Documents Concerning Your attendance at any 568 Group-

related activity, including general meetings, committee meetings, and subcommittee meetings. This Request includes Documents sufficient to reveal the identities of all employees or representatives of You who participated in such activities.

**Request for Production No. 45:** All Documents Concerning Your use of, implementation of, decision to modify, or decision to use an alternative methodology to, the Consensus Methodology.

**Request for Production No. 46:** All Documents Concerning (a) the creation and structuring of your Financial Aid Packages, (b) Financial Aid being a functional or apparent Discount, (c) Your institutional and outside funding for Financial Aid, and (d) any analyses or data Concerning Your ability to provide Financial Aid.

**Request for Production No. 47:** All Documents Concerning informational, promotional, marketing, public relations, recruitment, solicitations, campaigns, talking points, pitches, or other communications You make available or direct to prospective Applicants, their families, college Admissions Consultants, school counselors, and coaches, and the development of such materials, campaigns, etc.

**Request for Production No. 48:** All Documents made available or presented to prospective Applicants, their families, college Admissions Consultants, school counselors, and coaches comparing Your institution and/or its Financial Aid programs, policies, and practices to those of other institutions.

**Request for Production No. 49:** Documents, including any statements, summaries, forecasts, strategic plans, budgets, data, and analyses, sufficient to demonstrate, for each Academic Year during the Relevant Time Period, Your Tuition revenue, Financial Aid, Development efforts or income, endowment performance, and costs to establish and operate Your institution, including

but not limited to fixed-costs, financing, upgrades, improvements, maintenance, utilities, and renovations.

**Request for Production No. 50:** Documents, including any statements, summaries, forecasts, strategic plans, budgets, data, and analyses, sufficient to demonstrate, for each Academic Year during the Relevant Time Period, the Cost of Attendance at Your institution, including but not limited to how Your Cost of Attendance was determined during the Relevant Time Period.

**Request for Production No. 51:** All Documents Concerning Your public statements regarding reasons for increases to Tuition or Cost of Attendance.

**Request for Production No. 52:** All Documents Concerning the effect on the Cost of Attendance of increasing or decreasing Financial Aid.

**Request for Production No. 53:** For each of Your fiscal or calendar years during the Relevant Time Period, in whichever manner such Documents are normally maintained, all Documents Concerning: (a) the dollar amount of Your restricted endowment assets (*i.e.*, endowments assets resulting from Restricted Donations); (b) the dollar amount of Your restricted endowment assets that are devoted to undergraduate Financial Aid; (c) the dollar amount of Your unrestricted endowment assets (*i.e.*, endowment assets resulting from Unrestricted Donations); (d) the annual percentage return earned by Your endowment (*i.e.*, endowment income divided by endowment assets); (e) the total number of Students; and (f) the total number of full-time students, including those in graduate and professional school.

**Request for Production No. 54:** All Documents Concerning policies, practices, and procedures relating to applications to your undergraduate programs and for Financial Aid during the Relevant Time Period including but not limited to Common Application submissions, Coalition application submissions, QuestBridge application submissions, Posse application submissions,

Your internal Admissions application submissions, FAFSA and SAR submissions, CSS Profile submissions, supplemental Financial Aid Application form submissions, Financial Aid Packages provided to all Admitted Applicants and Students, and any revisions to Financial Aid Packages.

**Request for Production No. 55:** Documents sufficient to show Your Admissions and Financial Aid policies, practices, and procedures for each Academic Year during the Relevant Time Period, including handbooks, manuals, training materials, and promotional materials.

**Request for Production No. 56:** Documents Concerning Your decision to include or not include reference to the 568 Group or the Consensus Methodology on Your website, in promotional materials, or in other communications with prospective Applicants, Applicants, and their families.

**Request for Production No. 57:** All Documents Concerning materials provided to prospective Applicants, Applicants, Admissions Consultants, school, counselors, or coaches or otherwise available publicly describing Your institution as an elite academic institution with highly selective admission policies.

**Request for Production No. 58:** All Documents Concerning Dean's Interest Lists, Z Lists, and Tagging protocols and any Documents reflecting that anyone in Your Admissions office or President's Office, or deans' offices viewed images of Applicants' homes, considered Applicants' family income or family wealth in any way, considered whether Applicants' zip codes signified affluence, or considered whether the Applicants revealed in any way that they intended to apply for Financial Aid.

**Request for Production No. 59:** All Documents Concerning Your analysis, interest in, or awareness of the Financial Aid policies, practices, and customs of any other institution of higher education.

**Request for Production No. 60:** All Documents Concerning Your discussions and communications with other 568 Group Members as to whether they were need-blind (however You define that term).

**Request for Production No. 61:** All Documents Concerning differences in Your Financial Aid policies, practices, or procedures for Applicants and Admitted Applicants (a) in any Early Admissions programs; (b) in the Regular Decision program; (c) off the Waitlist; (d) as a Transfer Applicant; or (e) into any schools, colleges, or programs with unique Admissions processes, including but not limited to Columbia University's School of General Studies, Oxford College at Emory University, the University of Pennsylvania School of Liberal and Professional Studies, the Brown University Resumed Undergraduate Education program, the Georgetown University School of Continuing Studies Bachelor's Completion Program, the Duke University Continuing Studies program for degree-seeking candidates, and Yale University Eli Whitney Students Program.

**Request for Production No 62:** All Documents Concerning the Admissions and Financial Aid policies and practices, formal or informal, for programs targeted toward non-traditional, full-time degree-seeking undergraduate Applicants and Students, including those with breaks in their education, adult learners, and those with dependents. Such programs include but are not limited to the Columbia University School of General Studies, the University of Pennsylvania School of Liberal and Professional Studies, the Brown Resumed Undergraduate Education program, the Georgetown School of Continuing Studies Bachelor's Completion Program, the Duke University Continuing Studies program for degree-seeking candidates, and Yale's Eli Whitney program.

**Request for Production No. 63:** All Documents Concerning any relationship between Early Admissions programs and Financial Aid.

**Request for Production No. 64:** All Documents Concerning Your Internal Financial Aid Formula(e), including their development, implementation, changes, proposed changes, and comparisons to or implementations of the Consensus Methodology, Institutional Methodology Federal Methodology, any 568 Group Member's Financial Aid formula(e), and any Peer Institutions' Financial Aid formula(e). This Request includes any and all Inputs and Outputs for Your Internal Financial Aid Formula(e) and all methodologies and systems used to determine a Student or Admitted Applicant's ability to the pay Cost of Attendance.

**Request for Production No. 65:** All Documents Concerning Your decision(s) to award the same or a different amount of Financial Aid to Students after their first year of attendance.

**Request for Production No. 66:** All Documents Concerning any purported need for independent professional judgment in the awarding of Financial Aid, including, but not limited to, formal or informal Financial Aid appeals or reconsideration processes; successful or unsuccessful attempts by Applicants or Students to avail themselves of any such appeal or reconsideration; deviations from any Financial Aid formula(e) relevant for particular Applicants or Students based on unique Financial Circumstances or presentation of competing Financial Aid offers from other institutions.

**Request for Production No. 67:** All Documents Concerning the practice or policy of "reverse engineering" a Financial Aid Package formula(e) used by any other institution.

**Request for Production No. 68:** All Documents analyzing the relationship between the Financial Aid Package offered to Admitted Applicants and their likelihood of matriculating, including all Documents Concerning communications between or among You, the 568 Group, and/or any 568 Group Members regarding the same.

**Request for Production No. 69:** All Documents analyzing the choices made by Admitted

Applicants to Your institution to attend institutions of higher education other than Yours.

**Request for Production No. 70:** All Documents Concerning the application and enrollment decisions of persons who did, and did not, apply to Your full-time undergraduate program, including but not limited to all National Student Clearinghouse reports and data Concerning the institutions that Applicants applied to and where they chose to enroll.

**Request for Production No. 71:** Documents sufficient to identify all the schools You have ever identified as Peer Institutions.

**Request for Production No. 72:** All Documents analyzing the colleges and universities You consider Peer Institutions, including any such analyses by Your Office of Institutional Research or those produced to the U.S. Department of Education or any college ranking organization. This Request includes all Documents Concerning Your competitive standing among Peer Institutions, including but not limited to analyzes related to brand preferences, supply of available seats, prestige, Cost of Attendance, Net Price, Financial Aid, and the ability for Applicants to substitute one Peer Institution for another.

**Request for Production No. 73:** All Documents Concerning Your rankings, or the rankings of Your Peer Institutions, in *U.S. News & World Report* rankings of educational institutions.

**Request for Production No. 74:** All Documents Concerning materials provided to prospective Applicants and their families, Applicants, Admissions Consultants, school counselors, or coaches or otherwise available publicly referring Your *U.S. News & World Report* ranking.

**Request for Production No. 75:** All Documents made available or presented to prospective undergraduate Applicants, their families, college Admissions Consultants, school counselors, and coaches that refer to any ranking information, together with any Documents Concerning the reason for the inclusion of the particular ranking information.

**Request for Production No. 76:** All Documents analyzing or discussing the effect (whether actual or potential, prospective or retrospective) on You of a favorable *U.S. News & World Report* ranking, including a ranking in any particular tier, such as, for example, the top 5, top 10, or top 25.

**Request for Production No. 77:** All Documents Concerning Your Enrollment Management, including analyses of the use of any Enrollment Management Software, Consultants, employees, analyses, data, or algorithms. This Request includes all Documents within Your Admissions Office Concerning Landscape. This Request also includes all Documents Concerning the roles of any administrator at Your institution whose title or job description includes the term “enrollment management.”

**Request for Production No. 78:** All Documents Concerning the book entitled, “Handbook of Strategic Enrollment Management.” This Request includes all Documents Concerning any of the co-authors or editors of the book.

**Request for Production No. 79:** All Documents within Your Admissions Office referring to the “missing middle,” “barbell effect,” “middle income,” or “middle class.”

**Request for Production No. 80:** All Documents Concerning actual or potential consideration of any Applicant’s Financial Circumstances, including all Documents Concerning whether an Applicant placed on the Dean’s Interest List or Z List prior to Your making a decision regarding whether to admit the Applicant and whether the Applicant was in fact actually accepted for Admission by You.

**Request for Production No. 81:** Documents sufficient to show Your “yield” rate on acceptances by Admitted Applicants for each Academic Year during the Relevant Time Period and also in comparison to any other institutions, together with any Documents Concerning any analysis or



comparison in your possession Concerning Your yield rate as compared with such institutions, and any steps that might be taken to improve Your yield rate.

**Request for Production No. 82:** All Documents Concerning Your membership in, participation in, or affiliation with any professional organizations, alliances, consortia, or partnership programs Concerning Admissions, including but not limited to the Common Application, COFHE, the Coalition for College, QuestBridge, the Posse Foundation, and the American Talent Initiative. This Request includes all data shared between You and these organizations, alliances, or consortia and between You and other partners or members.

**Request for Production No. 83:** All Documents Concerning lobbying the National Commission on Responsibilities for Financing Postsecondary Education and the principle, policy, or goal that parents, Students, or families should be primarily responsible for bearing the cost of postsecondary education.

**Request for Production No. 84:** All Documents Concerning Your policies with respect to Admissions or Financial Aid policies when or if Your Financial Aid budget has been exhausted or exceeded in any given admissions cycle.

**Request for Production No. 85:** All Documents Concerning the article published on February 23, 2019 in the Providence Journal entitled “VIP Dinners Offer Peek at Culture of Privilege.” See Lucas Smolcic Larson et al., *VIP Dinners Offer Peek at Culture of Privilege*, PROVIDENCE J. (Feb. 23, 2019), <https://www.providencejournal.com/story/news/education/2019/02/24/vip-dinners-offer-peek-at-culture-of-privilege-at-brown-university/5834510007/>.

**Request for Production No. 86:** All Documents Concerning the April 9, 2019 public statement by Brown University President Christina Paxson, where she wrote: “Preferential treatment, real or suspected, for students based on wealth or privilege is corrosive to our community. We are

looking carefully at all our practices across the University—from alumni and parent engagement, to residential life, to academic concerns, to student conduct—to make sure that favoritism has no influence on students’ experiences.”

**Request for Production No. 87:** All Documents Concerning the April 20, 2017 *Columbia Spectator* article by Jessica Spitz, which describes Columbia’s School of General Studies’s “perennial lack of funds that has left it, in stark comparison with Columbia College, unable to provide need-blind financial aid for its students.” Jessica Spitz, *At a Crossroads: The Future of GS*, COLUMBIA SPECTATOR (Apr. 20, 2017),

<https://www.columbiaspectator.com/news/2017/04/20/at-a-crossroads-the-future-of-gs/>.

**Request for Production No. 88:** All Documents Concerning the November 14, 2017 *Columbia Spectator* article by Eli Lee entitled “Public Health Professor Lisa Rosen-Metsch Appointed Dean of General Studies” including the editor’s note issued on February 16, 2022 stating, in substance, that the article’s previous statement that General Studies Admissions are “need-aware” was in error. See Eli Lee, *Public Health Professor Lisa Rosen-Metsch Appointed Dean of General Studies*, COLUMBIA SPECTATOR (Nov. 14, 2017),

<https://www.columbiaspectator.com/news/2017/11/14/public-health-professor-lisa-rosen-metsch-appointed-dean-of-general-studies/>.

**Request for Production No. 89:** All Documents Concerning the statement by Cornell Financial Aid Director Thomas Keane in response to Princeton University’s decision to increase Financial Aid that “[i]n addition to the academic investment, the financial investment makes [students] appreciate their education more.” Stan Schweiger and Tristan Schweiger, *Princeton Stands Alone with New Financial Aid Plan*, DAILY PENNSYLVANIAN (Feb. 5, 2001),

[https://www.thedp.com/article/2001/02/princeton\\_stands\\_alone\\_with\\_new\\_financial\\_aid\\_plan](https://www.thedp.com/article/2001/02/princeton_stands_alone_with_new_financial_aid_plan).

**Request for Production No. 90:** All Documents Concerning the July 17, 2001 article by Shevani Jaisigh entitled “28 Colleges Alter Fin. Aid Packages.” *See* Shevani Jaisingh, 28 *Colleges Alter Fin. Aid Packages*, DARTMOUTH (July 7, 2001), <https://www.thedartmouth.com/article/2001/07/28-colleges-alter-fin-aid-packages>. This Request includes all Documents Concerning the “need analysis methodology” mentioned in the article.

**Request for Production No. 91:** All Documents Concerning Cornell’s statement that it targets an “increase annually [in tuition] to reflect the cost increases that the university experiences in providing that education” and that “Cornell’s long-term goal is to keep the annual growth in endowed Ithaca tuition reasonably close to inflation.” Michael L. Whalen, CORNELL UNIVERSITY DIVISION OF PLANNING & BUDGET, *Cornell University 2008-09 Financial Plan* (May 2008), <https://dpb.cornell.edu/documents/1000406.pdf>.

**Request for Production No. 92:** All Documents Concerning Cornell’s statement that its “spending rate has converged with the rates of its research university peers and the overall average of the institutions that participate in the NACUBO Endowment Study,” including Documents used to identify the Peer Institutions referenced in the NACUBO Endowment Study. *See* Michael L. Whalen, CORNELL UNIVERSITY DIVISION OF PLANNING & BUDGET, *Cornell University 2008-09 Financial Plan* (May 2008), <https://dpb.cornell.edu/documents/1000406.pdf>.

**Request for Production No. 93:** All Documents Concerning Cornell’s announcement that “it will match the need-based financial aid for admitted students who are also accepted to other Ivy League Schools and will strive to match the need-based financial aid from Duke University, the Massachusetts Institute of Technology and Stanford University.” Susan Kelley, *Cornell to Match Financial Aid Offers of Peer Universities*, CORNELL CHRON. (Dec. 7, 2010), <https://news.cornell.edu/stories/2010/12/cornell-matches-financial-aid-offered-peer-schools>.

**Request for Production No. 94:** All Documents Concerning the statement by Cornell’s former Dean of Admissions Maria Laskaris stating, “The ultra-rich have an additional advantage in their ability to donate large sums of money to universities, which can boost their kids’ chances of acceptance. . . . Colleges are always in fundraising mode.” See Jill Tucker, *In the College Admissions Game, Even the Legal Kind, Money Has Always Mattered*, S.F. CHRON. (Mar. 12, 2019), <https://www.sfchronicle.com/bayarea/article/In-the-college-admissions-game-even-the-legal-13683518.php>.

**Request for Production No. 95:** All Documents Concerning the substance of Cornell’s assertion in its Answer that “[j]ointly establishing recommended best practices for measuring need improves the accuracy of determinations of students’ ability to pay and promotes a more efficient allocation of financial aid—thereby decreasing the price paid by some students and increasing the quality of financial aid awards.”

**Request for Production No. 96:** All Documents Concerning the substance of Cornell’s assertion in its Answer that the 568 Group’s collaboration “also improves accessibility of higher education by broadening the pool of applicants who can, with financial aid, afford to attend higher education and improves the socioeconomic diversity of the class of admitted students—which increases consumer choice as well as the quality of education and educational experience provided.”

**Request for Production No. 97:** All Documents Concerning the statement on the Dartblog that “[a]t Dartmouth, development officers meet with admissions staff to review a list created by the development office. Each year, up to 50 applicants may be considered through this special process, most of whom are admitted, accounting for 4-5% of Dartmouth student body.”

**Request for Production No. 98:** All Documents Concerning work performed by Jeff Sassorossi,

including any work he performed as Dartmouth's "liaison between the Advancement (Alumni Relations and Development) and Admissions" relating to Admissions policies and to Admissions of specific Students.

**Request for Production No. 99:** All Documents Concerning the book *The Price of Admission*, by Daniel Golden, including statements in the book from Duke's then-President Richard Brodhead that "it would be naïve to say that a university should pay no attention to a family's ability to help the university" and that a family's ability to donate to Duke was a "plus factor" in Admissions and from Duke's former Director of Undergraduate Admissions Jean Scott that "'a couple hundred' applicants a year received special attention as children of prospective donors."

**Request for Production No. 100:** All Documents Concerning the statement by Duke President Richard Broadhead that "[i]t would be naïve to say that any university should pay no attention to a family's ability to help the university" and that "[t]he question is how much, what is the weight we will give this?" Geoffrey Mock, *Broadhead Discusses Early Admissions, Developmental Admits*, DUKE TODAY (Sept. 22, 2006), <https://today.duke.edu/2006/09/admit.html>.

**Request for Production No. 101:** All Documents Concerning Emory's January 17, 2013 press release entitled "Commitment to Excellence Guides Financial Aid" that "due to the combination of internal and external financial pressures, Oxford College implemented a need-sensitive framework in admitting and shaping part of its freshman class." See Beverly Clark, *Commitment to Excellence Guides Financial Aid*, EMORY NEWS CTR. (Jan. 17, 2013), [https://news.emory.edu/stories/2013/01/er\\_financial\\_aid/campus.html](https://news.emory.edu/stories/2013/01/er_financial_aid/campus.html).

**Request for Production No. 102:** All Documents Concerning the statement by Georgetown's Dean of Admissions Charles Deacon that "[o]n the fundraising side, we also have a small number of 'development potential' candidates. If Bill Gates wants his kid to come to

Georgetown, we'd be more than happy to have him come and talk to us." See Alvin P. Sanoff, *Getting in to Top Schools*, WASHINGTONIAN (Oct. 1, 2007),

<https://www.washingtonian.com/2007/10/01/getting-in-to-top-schools/>.

**Request for Production No. 103:** All Documents Concerning Georgetown's statement that it "compete[s] among the top 25 universities in the nation," including those used to identify the Peer Institutions. See President John J. DeGioia, *Student Town Hall Meeting on the Implications of the Financial Crisis* (Mar. 2, 2009), <https://president.georgetown.edu/speeches/student-town-hall-meeting-on-the-implications-of-the-financial-crisis/>.

**Request for Production No. 104:** All Documents Concerning Johns Hopkins's report entitled "Ten by 2020." See Johns Hopkins University, *Johns Hopkins Moves Up to 12th in U.S. News Rankings of Best Colleges*, HUB (Sept. 10, 2013), <https://hub.jhu.edu/2013/09/10/us-news-annual-rankings/>.

**Request for Production No. 105:** All Documents Concerning the statement by Northwestern President Morton Shapiro that "I know some say we [the 568 Group] are trying this, and Princeton is trying to blow us out of the water, . . . I don't think that's true. But [Princeton's move] certainly isn't helping. It doesn't make it easier to come to some sort of broad agreement in principle." Mark Clayton, *Quiet Effort to Promote More Needs-Based Aid*, CHRISTIAN SCI. MONITOR (Feb. 13, 2001), <https://www.csmonitor.com/2001/0213/p13s1.html>.

**Request for Production No. 106:** All Documents Concerning the April 14, 2011 article in the *Washington Post* entitled "Northwestern Now a First Choice to Many, Its President Says." See Daniel de Vise, *Northwestern Now a First Choice to Many, Its President Says*, WASH. POST (Apr. 14, 2011), [https://www.washingtonpost.com/blogs/college-inc/post/schapiro-northwestern-now-a-first-choice-to-many/2011/04/13/AFSXTacD\\_blog.html](https://www.washingtonpost.com/blogs/college-inc/post/schapiro-northwestern-now-a-first-choice-to-many/2011/04/13/AFSXTacD_blog.html).

**Request for Production No. 107:** All Documents Concerning the April 24, 2019 Daily Northwestern article entitled “Northwestern President Schapiro Says He Reads Applications of Some Legacy, Donor Students.” Alan Perez & Gabby Birenbaum, *Northwestern President Schapiro Says He Reads Applications of Some Legacy, Donor Students*, THE DAILY NORTHWESTERN (Apr. 24, 2019),

<https://dailynorthwestern.com/2019/04/24/campus/northwestern-president-schapiro-says-he-reads-applications-of-some-legacy-donor-students/>. This Request includes all Documents Concerning the related podcast of Northwestern alumnus Alan Perez on May 3, 2019.

**Request for Production No. 108:** All Documents Concerning Notre Dame’s Vice President for Undergraduate Enrollment Don Bishop’s statement that “[p]eople think they give a couple hundred thousand or a million, they’re big donors, that’s just no longer the case” but that a larger Donation “which could fund 10 to 15 scholarship kids for perpetuation—do you let their children have some special interest? Yes. But they still have to be quite good.” See Daniel Golden, *Jared Kushner Isn’t Alone: Universities Still Give Rich and Connected Applicants a Leg Up*, PROPUBLICA (Nov. 22, 2016), <https://www.propublica.org/article/jared-kushner-isnt-alone-universities-give-rich-applicants-a-leg-up>.

**Request for Production No. 109:** All Documents Concerning Director of Undergraduate Admissions at Notre Dame Bob Mundy, who is described in his biographies at various alumni gatherings as “delivering a freshmen class of approximately 2,000 students while also satisfying the needs of various constituencies, ie. . . . the Development Office, etc.”

**Request for Production No. 110:** All Documents Concerning former University of Pennsylvania Admissions Officer Karen Crowley’s statement that “[i]t never hurts to remind schools [that] you will be a full-paying student . . . [because t]he rules even change at need-blind

schools when it comes to the waitlist. It's not an official practice, but Admissions officers are human. They know endowments are down and cost-cutting is essential. If a full-paying student says he'll definitely come, letting him in can be a relief." See Kathleen Kingsbury, *Dirty Secrets of College Waitlists*, DAILY BEAST (July 14, 2017), <https://www.thedailybeast.com/dirty-secrets-of-college-waitlists?ref=scroll>.

**Request for Production No. 111:** All Documents Concerning Vanderbilt's statement that it "reserve[s] the right" or reserved the right to consider financial need of Applicants on its Waitlist and for Transfer Applicants.

**Request for Production No. 112:** All Documents Concerning the claim by the Yale Daily News that "Yale officials pointed out that Princeton, for example, is already striking an individual aid path. Princeton's January aid announcement, which eliminated loans and reduced student savings, diverged from some of the 568 plans, administrators said. Administrators said they fear that more and more schools will make radical decisions if a group like the 568 presidents group is not allowed to exist." See Louise Story, *Following Princeton, Harvard Beefs Up Aid*, YALE DAILY NEWS (Feb. 22, 2001), <https://yaledailynews.com/blog/2001/02/22/following-princeton-harvard-beefs-up-aid/>.

**Request for Production No. 113:** All Documents Concerning the Yale Daily News article published on February 16, 2005 entitled "Legacies Still Maintain an Edge in Admissions." Hillary August, *Legacies Still Maintain Edge in Admissions*, YALE DAILY NEWS (Feb. 16, 2005), <https://yaledailynews.com/blog/2005/02/16/legacies-still-maintain-edge-in-admissions/>. This Request includes all Documents Concerning the "A-list," "B-list," or "C-list," mentioned in the article, or any similar lists, including copies of such lists, the identities of all Applicants or their family members on such lists, and whether any Applicant connected to any such list was



ultimately accepted, rejected, or Waitlisted.

**Request for Production No. 114:** All Documents Concerning the September 26, 2008 article in the Yale Daily News entitled “University Leaves Financial Aid Group,” including but not limited to statements, comments, discussions, remarks, or analyses by the 568 Group or 568 Group Members (including Yale) Concerning Yale’s statement that its “new, more generous aid policy in January means the University can no longer follow the consensus methodology” and that “[b]y leaving the 568 Group, Yale is now free to give more aid than they would have gotten under the consensus methodology.” See Caitlin Roman, *University Leaves Financial Aid Group*, YALE DAILY NEWS (Sept. 26, 2008), <https://yaledailynews.com/blog/2008/09/26/university-leaves-financial-aid-group/>. This Request includes all Documents Concerning Yale’s decision to purportedly withdraw from the 568 Group.

**Request for Production No. 115:** All Documents Concerning Yale’s decision to purportedly re-join the 568 Group.

**Request for Production No. 116:** All Documents Concerning the contents of the November 2, 2018 article in the Yale Daily News entitled “Development Office Courts ‘VIP’ High Schoolers, Children of Potential Donors” or the article itself. Lorenzo Arvanitis & Skakel McCooey, *Development Office Courts “VIP” High Schoolers, Children of Potential Donors*, YALE DAILY NEWS (Nov. 2, 2018), <https://yaledailynews.com/blog/2018/11/02/development-office-courts-vip-high-schoolers-children-of-potential-donors/>.

**Request for Production No. 117:** All Documents Concerning foreign national Applicants such as those identified in the March 26, 2022 Air Mail article entitled “Yale for Sale.” See Clara Molot, *Yale for Sale*, AIR MAIL (Mar. 26, 2022), <https://airmail.news/issues/2022-3-26/yale-for-sale>.

**Request for Production No. 118:** All Documents Concerning Michael Lynton or the Lynton family.

**V. Documents Concerning Applicants' Financial Circumstances**

**Request for Production No. 119:** All Documents Concerning Your definition of the term “need-blind” as used and defined in Section 568 of the Improving America’s Schools Act of 1994 (15 U.S.C. 1 note).

**Request for Production No. 120:** All Documents Concerning the 568 Group’s definition of “need-blind” as used and defined in Section 568 of the Improving America's Schools Act of 1994 (15 U.S.C. 1 note).

**Request for Production No. 121:** Documents sufficient to show that, for each year as a 568 Group Member, You did not consider the Financial Circumstances of Waitlisted or Transfer Applicants in making Admissions decisions.

**Request for Production No. 122:** All Documents Concerning whether to publicly state that Your institution admits all domestic Students on a “need-blind” basis (however You define it).

**Request for Production No. 123:** All Documents Concerning Your definition of the terms “need aware” and “need sensitive.”

**Request for Production No. 124:** All Documents Concerning different or preferential treatment in the Admissions process for Applicants whose families are capable of making substantial Donations and Applicants who do not need Financial Aid at Your institution or that of any 568 Group Member or Peer Institution.

**Request for Production No. 125:** All Documents Concerning any employees in Your Institution formally or informally involved in coordinating between the Admissions Office and Development Office or in encouraging the application and enrollment of Applicants not

requiring Financial Aid, including Documents sufficient to identify all such individuals by their names and titles.

**Request for Production No. 126:** All Documents Concerning any communications between Your Admissions Office staff and Your Development Office staff Concerning any Donor or Applicant, including any email correspondence and any shared electronic data or information sources.

**Request for Production No. 127:** All Documents Concerning communications between (a) Your Admissions Office and the Development Office, (b) the President's Office and the Admissions Office, and/or (c) the Financial Aid Office and Admissions Office, including any email correspondence and any shared electronic data or information sources, that identify Applicants by name and discuss the Applicants' candidacy prior to Your issuing a formal decision on their Admissions application.

**Request for Production No. 128:** All Documents Concerning communications between or among You (including but not limited to any employee in the Development Office, Financial Aid Office, Admissions Office, Alumni Relations Office, or President's office) and any natural person(s) or families, or representatives of such natural person(s) whom You identified as part of a family who has ever cumulatively donated \$50,000 or more to You (on either a one-time or annual basis in that amount or higher) Concerning any Applicants, Admitted Applicants, current Students, or former Students of You.

**Request for Production No. 129:** All Documents reflecting communications between or among You (including but not limited to any employee in the Development Office, Financial Aid Office, Admissions Office, Alumni Relations Office, or President's office) and any natural person(s) whom You have identified as part of a family Your institution has identified as capable

of cumulatively providing Donations of at least \$50,000, either on a one time or annual basis, whose children who have applied or have been admitted to Your institution.

**Request for Production No. 130:** All Documents reflecting communications between or among the Office of the President, Alumni Relations Office, Development Office, or Admissions Office Concerning an Applicant's family income, wealth, zip code, or actual or anticipated Donations to You.

**Request for Production No. 131:** All Documents Concerning meetings, phone calls, or other communications other than Applicant Admissions interviews that took place or take place between or among Applicants and any of your faculty, staff, employees, or officers, including any communications by Your Development Office or Your President regarding any such meetings, phone calls, or communications other than Applicant Admissions interviews.

**Request for Production No. 132:** All Documents Concerning parents or other relatives of an Applicant establishing, or potentially establishing, an endowed chair or endowed fund.

**Request for Production No. 133:** All Documents Concerning Your policies and/or practices directed towards compliance with the antitrust laws, whether formal or informal, including: (a) all written policies, (b) presentations to employees, inclusive of antitrust education, training, and/or compliance sessions and/or seminars, and (c) all statements signed by your employees acknowledging their receipt of and/or compliance with Your policies and/or practices directed towards compliance with the antitrust laws, whether formal or informal.

**Request for Production No. 134:** All Documents Concerning the paper by Raj Chetty et al., entitled "Income Segregation and Intergenerational Mobility Across Colleges in the United States," which found that "[e]qualizing application, admission, and matriculation rates across parental income groups conditional on test scores would reduce segregation substantially,

primarily by increasing the representation of middle-class students at more selective college.”

**Request for Production No. 135:** All Documents Concerning the renewal of the 568 Exemption or modification of that exemption, including any advocacy Concerning such renewal.

**VI. Documents Concerning Defendants’ Agreement(s) or Understandings**

**Request for Production No. 136:** All Documents Concerning Your understandings or agreements, formal or informal, with the 568 Group or 568 Group Members regarding Admissions or Financial Aid policies or practices.

**Request for Production No. 137:** All Documents Concerning any agreement and/or promise to indemnify You or make You whole for any financial liability or exposure in this Action or any other antitrust litigation.

**Request for Production No. 138:** All Documents Concerning agreements, discussions, communications, or meetings between You and any other college(s) or university(ies) Concerning Financial Aid, Cost of Attendance, and Admissions, including with regard to particular Students or Applicants.

**Request for Production No. 139:** All Documents Concerning any agreements between You and any other colleges or universities to share information Concerning Applicants admitted through Early Admissions Programs.

**Request for Production No. 140:** All Documents Concerning communications with any officer, trustee, or employee of Harvard University, Princeton University, Stanford University, or any institution that You believe did not adopt the Consensus Methodology Concerning the 568 Group, the 568 Exemption, or any actual or potential discussions, agreements, or sharing of information under the Exemption.

**Request for Production No. 141:** All Documents Concerning any conversations, meetings,

communications, or agreements conducted pursuant to the 568 Exemption other than conversations, meetings, communications, or agreements constituting the activities of the 568 Group.

**Request for Production No. 142:** All Documents Concerning any conversations, meetings, or communications between You and any other institution of higher education about efforts, individually or collectively, to persuade Congress to extend and/or modify the 568 Exemption after it is scheduled to expire on September 30, 2022. This Request includes All Documents between You and any person or entity employed as a lobbyist by you on these subjects, or between You and any Member of Congress or Congressional staff person on these subjects.

**VII. Documents Concerning Defendants' Defenses**

**Request for Production No. 143:** All Documents Concerning any affirmative defense You have raised or may raise in this Action.

**Request for Production No. 144:** All Documents Concerning Your institution's efforts, policies, or goals to admit Students that reflect either (a) the "unique potential of applicants from less fortunate situations;" or (b) an economically diverse class.

**Request for Production No. 145:** All Documents Concerning Your institution's efforts, policies, or goals to limit the number of Admitted Applicants who need Financial Aid.

**Request for Production No. 146:** All Documents You relied on or considered with respect to any position You have reached regarding whether Your Financial Aid and Admissions practices were or are lawful under the antitrust laws. This Request includes any Documents or statements made by or to the Department of Justice.

**Request for Production No. 147:** If you contend that You have withdrawn from the 568 Group at any point during the Relevant Time Period, all Documents Concerning:

- a. Your alleged decision to withdraw;
- b. how You have implemented that decision;
- c. any use You have made of the Consensus Methodology or any of its principles since purportedly withdrawing;
- d. alternative methods of determining financial need or Financial Aid awards that you have used since purportedly withdrawing;
- e. differences in outcomes between Your former use of the Consensus Methodology and any subsequent Financial Aid practices;
- f. any communications you have had with anyone (including the 568 Group and 568 Group members) since Your withdrawal regarding any of the matters in items “a”-“e” of this Request; and
- g. any Documents Concerning Your disavowing or repudiating the 568 Group and the 568 Group’s goals.

**Request for Production No. 148:** If You contend that any Plaintiff or Class member could have mitigated their damages, produce as to each such Plaintiff or Class member all Documents on which You rely as the basis for that contention.

**Request for Production No. 149:** If You contend that any Plaintiff or Class member could have mitigated their damages, produce Documents sufficient to identify any available Financial Aid, including but not limited to grants, scholarships, Tuition assistance, or loan forgiveness programs that Plaintiffs or Class members could have applied for or obtained but failed to do so.

**Request for Production No. 150:** All Documents Concerning the possible or actual use of endowment funds to increase Financial Aid or decrease the Cost of Attendance for undergraduate Students. This Request also includes all Documents Concerning the use of

endowment principal or income for Financial Aid.

**Request for Production No. 151:** All Documents Concerning any Merit Aid offered to Applicants and awarded to Students during the Relevant Time Period.

**Request for Production No. 152:** All Documents Concerning statements or communications by You to any media outlet Concerning this Action, including all Documents that support, justify, or verify the content of those statements or communications.

**Request for Production No. 153:** All Documents Concerning Student advocacy efforts, formal or informal, to increase or improve Financial Aid for Students. This Request includes Documents Concerning groups including but not limited to Brown for Financial Aid, A Leg Even, the Endowment Justice Coalition, Columbia-Barnard Young Democratic Socialists of America, I'm First, First Generation Student Union, Dartmouth Student Union, First-Generation Low Income Partnership, FLI@MIT, Penn First, and the Yale FGLI Advocacy Movement.

**VIII. Documents Concerning the Potential or Actual Effects of the 568 Group and the Consensus Methodology**

**Request for Production No. 154:** All Documents Concerning the actual or potential effect of Your being a 568 Group Member, including the actual or potential effect of adopting or considering the Consensus Methodology, or any modifications to Your Financial Aid methodology made as a result of the 568 Group, on Your Financial Aid or Cost of Attendance.

**Request for Production No. 155:** Documents Concerning whether Your use of the Consensus Methodology or Your membership in the 568 Group had, has, or could have the effect of limiting the discretion of Your Financial Aid officers to grant additional Financial Aid.

**Request for Production No. 156:** All Documents Concerning Your views, concerns, or considerations regarding whether elimination of the 568 Group would increase Financial Aid awards.



**Request for Production No. 157:** All Documents Concerning Princeton University's announcements in 1998 and 2001 Concerning the elimination of Loans from Financial Aid Packages.

**Request for Production No. 158:** All Documents Concerning any principle, policy, goal, or analysis regarding the amount that a Student (or the Student's family) should bear with respect to financing the cost of postsecondary education.

**IX. Documents Concerning Reports, Investigations, and Litigation**

**Request for Production No. 159:** All Documents produced in response to subpoenas You or any Defendant serve(s) in this Action.

**Request for Production No. 160:** All Documents referenced or relied upon in responding to interrogatories in this Action.

**Request for Production No. 161:** All Documents referenced or relied upon in writing Your Answers in this Action.

**Request for Production No. 162:** All Documents produced to any government entity in connection with any investigation, litigation, or criminal prosecution Concerning Your Admissions, Financial Aid, or Development programs, procedures, policies, and practices.

**Request for Production No. 163:** All Documents Concerning any communications You had with any governmental authority or representative in connection with the 568 Exemption, the 568 Group, or the Consensus Methodology.

**Request for Production No. 164:** All Documents Concerning government inquiries or investigations into the 568 Group's or Your institution's compliance with antitrust laws. This Request includes all communications with any government authority, agency, or department Concerning Your participation in the 568 Group.

**Request for Production No. 165:** All Documents Concerning or produced in *United States v. Brown University*, Nos: 2:91-cv-03274 (E.D. Pa); 92-1911 (3d Cir.), including but not limited to all pleadings, briefs, subpoenas, exhibits, and deposition transcripts.

**Request for Production No. 166:** All Documents Concerning or produced by the 568 Group or 568 Group Members in *Students for Fair Admission v. Harvard*, Nos. 14-cv-14176 (D. Mass); No. 15-1823 (1st Cir.); 20-1199 (S. Ct.), including but not limited to all pleadings, briefs, subpoenas, exhibits, and deposition transcripts.

**Request for Production No. 167:** All Documents Concerning or produced by the 568 Group or 568 Group Members in *Students for Fair Admission v. University of North Carolina*, Nos. 1:14-cv-954, No. 15-1823 (1st Cir.); No. 21-707 (S. Ct.), including but not limited to all pleadings, briefs, subpoenas, exhibits, and deposition transcripts.

**Request for Production No. 168:** All Documents provided the Government Accountability Office regarding any Government Accountability Office (“GAO”) Report Concerning the Consensus Methodology or the 568 Group and all Documents Concerning such reports.

**Request for Production No. 169:** All Documents provided to or Concerning any National Association of College and University Business Officers (NACUBO) studies of endowments.

**X. Documents Concerning Maintenance of Records**

**Request for Production No. 170:** All Documents Concerning Your policies and/or practices with respect to the retention and/or destruction of Documents, including but not limited to electronically stored information.

**Request for Production No. 171:** All Documents Concerning Your litigation hold(s) issued in connection with this Action.

**Request for Production No. 172:** Documents sufficient to explain and understand the general

network architecture of Your computer systems that contain electronic Documents, transactional data, or other electronically stored information requested in these Requests for Production.

**Request for Production No. 173:** All Documents including a request, suggestion, and/or instruction by the 568 Group or a 568 Group Member or any of its agents or employees to: (a) delete, destroy, and/or discard any Document, (b) maintain the secrecy of any Document and/or practice, (c) prohibit or limit the forwarding or circulation of any Document, (d) to move a discussion or email thread over to a personal email address, phone number, or application, (e) to avoid discussing a subject in writing, or (f) otherwise avoid leaving written evidence.

Dated: September 19, 2022

/s/ Robert D. Gilbert

Robert D. Gilbert

Elpidio Villarreal

Alexis Marquez

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**APPENDIX 1**

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Marion Annau and Reza Satchu	2023	Brown University
Andrin and Mala Bachmann	2023	Brown University
Dominique Bravo and Eric Sloan	2023	Brown University
Anne Marie Burgoyne and Brad Roberts	2025	Brown University
Colin and Elizabeth Callender	2015, 2023, 2025	Brown University
Kimberly and Louis D'Ambrosio	2022	Brown University
Julie and John Danaher	2024	Brown University
Jason Ding and Jennifer Wang	2017, 2022	Brown University
Charity and Edward Dong	2023, 2024	Brown University
Mark and Megan Dowley	2021, 2022	Brown University
Alexander and Pamela Dubitsky	2023, 2024	Brown University
Dean and Elizabeth Durling	2025	Brown University
Andrea and Brady Enright	2024	Brown University
Antonio and Maria Esteves	2025	Brown University
Katie Gledhill	2021	Brown University
Elana Griffin	2023	Brown University
Chris and Deborah Heine	2023	Brown University
Hui Hong Kao and Steve Kao	2023, 2026	Brown University
Nathalie Kaplan	2023	Brown University
Rene Lacerte and Joyce Chung	2025	Brown University
Donna Lloyd George	2016, 2024	Brown University
Paula and Eric Madoff	2022, 2024, 2025	Brown University
Alison and Joseph Miller	2019, 2022	Brown University
Deepti and Suneet Mittal	2018, 2022	Brown University
Priya and Rajiv Pandit	2020, 2023	Brown University
Michael McDonald and Rebecca Wright	2024	Brown University
Mayumi and Craig Mitchell	2024	Brown University
Deepak and Veena Munganahalli	2023	Brown University
Lauren Rosenkranz	2015, 2023	Brown University
Colin Rowlings and Weiping Xu	2024	Brown University
Helena and Per Skarstedt	2023	Brown University
Pamela and Eric Stang	2025, 2026	Brown University
Alicia and Robert Wyckoff	2022	Brown University
Stephanie and Arthur Young	2025	Brown University
Anne Zhao and Julian Ma	2021	Brown University
Edward Baker III	2020	Columbia University
Lauren and Keith Breslauer	2021, 2023	Columbia University
Gary and Shari Brooks	2024	Columbia University
Xiaoli Chen and Hongbin Peng	2020	Columbia University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Yihua Chen and Tianyin Shi	2021	Columbia University
Estelle Choe and Paul Kim	2022	Columbia University
Audra and Eric Cohen	2018, 2021	Columbia University
Yu Dang and Ming Weng	2025	Columbia University
Steven and Roberta Denning	2006	Columbia University
Rebecca and Robert DeSantis	2022	Columbia University
Alisa Drijanski and Emilio Romano	2018, 2022	Columbia University
Phyllis and Hamen Fan	2013	Columbia University
Suning and Fenglei Fang	2004	Columbia University
David and Nicole Gruenstein	2018	Columbia University
Margarita Inserni	2016	Columbia University
Mary and Adam Kirsch	2017	Columbia University
Annabelle Huang and Stanley Ko	2023	Columbia University
Joshua and Carolyn Kraft	2023	Columbia University
George Jiang and Hua Tang	2019	Columbia University
Catherine and Robert Hwang	2022	Columbia University
Robin-Hwajin Kim	2023	Columbia University
Sungwan Kim and Hosun Yoon	2023	Columbia University
Delia and Bijan Khosrowshahi	2016 and 2018	Columbia University
Kenneth and Christine Lee	2022	Columbia University
Amendy and Kevin Leung	2023	Columbia University
Jian Li and Zhifeng Yang	2023	Columbia University
Chun Liu and Wenjun Qiao	2019, 2022	Columbia University
Qing and Xiasong Liu	2019	Columbia University
Laurel Mayer and Jonathan Hecht	2021, 2022	Columbia University
Moe Moe and Soe Naing	2022	Columbia University
Kally and Othon Mourkakos	2017	Columbia University
Ann and Francis Neczypor	2008	Columbia University
Anthony O'Carroll and Robyn Field	2021, 2023	Columbia University
Echo Ren and Jack Wang	2024	Columbia University
Tianyin Shi and Ted Chen	2021	Columbia University
Zhengtao Shi and Steve Zhang	2024	Columbia University
Jill and Mark Shinderman	2025	Columbia University
Catherine and Thomas Strong	2024	Columbia University
Radhieka and Prabhash Subasinghe	2022	Columbia University
Alejandro Vollbrechthausen and Lucila Robert	2016	Columbia University
Chiu Yam and Jun Zhai	2021	Columbia University
Jue Wang and Chengjian Zhou	2019	Columbia University
Yu Qiao Wei and Yong An Xu	2017	Columbia University
Tina Yam and Jack Zhai	2021	Columbia University
Lisa and John Ying	2023	Columbia University
Julie and Alexander Zaks	2017, 2019	Columbia University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Charles Zhang and Lynn Chen-Zhang	2017, 2020	Columbia University
Wei Zhang	2022	Columbia University
Stephen and Lisa Bonner	2011	University of Chicago
Donna and Casey Keller	2017, 2021	University of Chicago
Buffy and Alex Poon	2024	University of Chicago
Thomas Rosenbaum	2012, 2015	University of Chicago
Bruce and Juli Melton	2019, 2022	Caltech
Lauren and William Murphy	2017, 2018	Caltech
Paul Robinson	2017	Caltech
Eileen Aptman	2022	Cornell University
Saleel Awsare	2020	Cornell University
Evan Bakst	2023	Cornell University
Melissa Bausano	2022	Cornell University
Barbara Bebon	2023	Cornell University
Alan and Pam Bergman	2022	Cornell University
Cheryl Bretkopf	2022	Cornell University
Wendy Browder	2023	Cornell University
Dorian Brown	2021	Cornell University
Leslie Burgstahler	2020	Cornell University
Melissa and John Ceriale	2016, 2023	Cornell University
Charlie and Liz Chasin	2015, 2019	Cornell University
Gail and David Furman	2019, 2022	Cornell University
Said Haidar	2021	Cornell University
Joseph Hardy	2019	Cornell University
Stephanie Hirschberg	2023	Cornell University
Stephanie Johnson	2022	Cornell University
Robert Makheja	2021, 2023	Cornell University
Pablo Melasecca	2022, 2024	Cornell University
Marco Masotti	2021	Cornell University
William and Lisa McGahan	2020	Cornell University
David and Pauline Musto	2020, 2023	Cornell University
Joe and Kate Naggar	2023	Cornell University
Robert Peracchia	2022	Cornell University
Anthony and Jeanne Pritzker	2017	Cornell University
David Rosenberg	2011, 2013, 2019	Cornell University
Stephen and Kara Ross	2017	Cornell University
Stephen Scherr	2021	Cornell University
David Sommer	2021	Cornell University
Steven and Kathy Spandorfer	2018	Cornell University
Sarah Sternklar	2023	Cornell University
Tom Wu	2022	Cornell University
Lucinda Bhavsar	2023, 2025	Dartmouth College
Jeffrey and Amy Crowe	2008, 2010, 2015	Dartmouth College

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
James and Karen Frank	1994	Dartmouth College
Scott and Lisa Stuart	2014, 2016, 2021, 2023	Dartmouth College
Michael Bingle	2025	Duke University
Bob Cullen and Ann Pelham	2006	Duke University
Edward Gilhuly	2013, 2017,	Duke University
Gerald and Anita-Agnes Hassell	2008	Duke University
Betsy and Arthur Holden	2011, 2013	Duke University
Karen and Greg King	2023	Duke University
Kathryn Hollister and Brad Miller	2017	Duke University
Peter Nicholas	2021, 2024	Duke University
Robert Penn and Katherine Baker Penn	2005, 2011, 2019	Duke University
Gerard and Paula Sansosti	2015, 2019, 2020, 2021, 2024	Duke University
Thomas Stanley and Ashley Crowder Stanley	2006, 2009, 2012	Duke University
Frederick and Barbara Sutherland	2003, 2006	Duke University
William Arnett	2005	Emory University
Arthur Blank	1998	Emory University
Henry Bowden	2008	Emory University
Lane and Stephanie FRostbaum	2018, 2020	Emory University
Judi Renbaum Kletz	2015	Emory University
Arthur Radford Laney	2010, 2012	Emory University
Steve Margol	2013	Emory University
William and Catherine Rice	2012, 2018	Emory University
Eugene and Barbara Ruslecki	2008, 2009, 2013, 2015	Emory University
Mitchell Tanzman	2018	Emory University
Art and Lauri Vinson	2008, 2009, 2011, 2013	Emory University
Rosemary Berkery	2015	Georgetown University
Robert and Rachael Dedman	2023, 2025	Georgetown University
Joe and Cheryl Della Rosa	2005, 2007	Georgetown University
Marijn and Andra Moffett Dekkers	2019, 2021, 2021	Georgetown University
Walid Hajj	2021	Georgetown University
Frank and Elizabeth Ingrassia	2020	Georgetown University
Victoria Johner y Cruz	2022	Georgetown University
John and Claire Joyce	2015	Georgetown University
Tivia and Richard Kramer	2022	Georgetown University
Janet and Rod Little	2022	Georgetown University
Robert Lloyd George	2014	Georgetown University
George and Patricia Raffini	2014	Georgetown University
Brian and Eileen Riano	2021	Georgetown University
Otto and Jeanne Ruesch	2002, 2009	Georgetown University
Tiziana and Ramez Sousou	2022	Georgetown University



<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Fernando Zobel de Ayala	2019, 2025	Georgetown University
Praveen and Rekha Abichandani	2024	Johns Hopkins University
Eric Aboaf and Cheryl Whaley	2025	Johns Hopkins University
Jonathan and Michelle Aufzien	2023	Johns Hopkins University
Jeff and Helen Camp	2023	Johns Hopkins University
Scott and Lisa Capps	2025	Johns Hopkins University
John and Elizabeth Dowds	2024	Johns Hopkins University
Betsy Ferguson	2024	Johns Hopkins University
Ward and Carol Glassmeyer	2025	Johns Hopkins University
Timothy and Yvette Karman	2025	Johns Hopkins University
Anton and Robin Katz	2023	Johns Hopkins University
Chet and Alison Kronenberg	2024	Johns Hopkins University
Gregory and Abbe Large	2023	Johns Hopkins University
Michael and Jenifer Lehrer	2024, 2026	Johns Hopkins University
Steve and Jeannie Madreperla	2025	Johns Hopkins University
Derek and Jennifer Malmberg	2024	Johns Hopkins University
Terry and Gail Maytin	2023	Johns Hopkins University
Beejadi Mukunda and Deepa Rao	2024, 2025	Johns Hopkins University
Jeffrey Naiman and Marjorie Fox	2025	Johns Hopkins University
Alan Pardee and Sally Morris	2023	Johns Hopkins University
Jih-Ping Peng and Ashley Chao	2024	Johns Hopkins University
John and Carolyn Petite	2024	Johns Hopkins University
Bob and Jane Poansky	2019, 2020	Johns Hopkins University
Amr Razzak and Jane Hsaio	2025	Johns Hopkins University
Ellis and Rose Rinaldi	2023	Johns Hopkins University
Steve Vitcov and Ruby Ghadially	2017	Johns Hopkins University
Gururaj Desphande	2007	MIT
Nicole and David Guenstein	2021	MIT
Lynn Hylen	2021	MIT
Ralph and Karen Izzo	2017	MIT
Reza and Julia Madidi Pourian	2013	MIT
Jeremy Wertheimer	2022	MIT
Douglas Berthiaume	2020	University of Notre Dame
John and Barbara Glynn	2000, 2006	University of Notre Dame
Rick and Molly Klau	1996	University of Notre Dame
Mark Pulte and Nany Pulte Rickard	2013	University of Notre Dame
Kenn and Pamela Ricci	2016	University of Notre Dame
Charles and Ellen Sheedy	1999, 2001, 2020	University of Notre Dame
Jane Ahn and Carl Park	2024, 2025	University of Pennsylvania
Mauricio Alvarado and Claire Guglielmi	2021, 2023	University of Pennsylvania
Doug and Christine Belgrad	2015, 2023	University of Pennsylvania
Barry and Andrea Cayton	2018, 2025	University of Pennsylvania

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Bob and Mary Ann Downes	2022	University of Pennsylvania
Cameron and Tracy Falconer	2025	University of Pennsylvania
Mitchell and Teri Gevinson	2019, 2023	University of Pennsylvania
Lawrence and Andrea Gill	2021	University of Pennsylvania
Alex and Rebecca Ginzburg	2023, 2025	University of Pennsylvania
Bari and Neil Goldmacher	2025	University of Pennsylvania
Madhukar and Chaya Govindaraju	2025	University of Pennsylvania
Matthew and Hedi Gross	2021	University of Pennsylvania
Jason and Dana Harrison	2024	University of Pennsylvania
Diana Huan and Chuong Nguyen	2022	University of Pennsylvania
Randall and Lori Isenberg	2023	University of Pennsylvania
Marshall and Johanna Kiev	2024	University of Pennsylvania
Robin Kim	2021	University of Pennsylvania
Alan and Ada Kumar	2025	University of Pennsylvania
Sandeep and Purvi Kunwar	2020, 2022	University of Pennsylvania
Antonio Larrea and Pilar Tamara	2020, 2024	University of Pennsylvania
Elie and Jody Levine	2019, 2025	University of Pennsylvania
Nathaniel and Dana Lipman	2019, 2022	University of Pennsylvania
Simon and Sharon Mendelson	2022	University of Pennsylvania
Michael and Barrie Mengarelli	2021	University of Pennsylvania
Mark and Jennifer Mouritsen	2022	University of Pennsylvania
Francis and Rosemary O'Dowd	2022	University of Pennsylvania
Tousif Pasha and Shazia Krimani-Pasha	2024	University of Pennsylvania
David and Jane Preiser	2021	University of Pennsylvania
Joel and Shari Ronkin	2023, 2025	University of Pennsylvania
Jane Rose	2024	University of Pennsylvania
Steven and Ellen Ross	2022	University of Pennsylvania
Philip and Jennifer Saltier	2024	University of Pennsylvania
Thomas and Robbi Schiff	2019, 2021	University of Pennsylvania
Brinda and Manish Shah	2020, 2022, 2026	University of Pennsylvania
Mary Shannon and Dwight Scott	2022	University of Pennsylvania
Maria and Antonio Scotto	2023	University of Pennsylvania
Daniel and Cherie Serota	2018, 2021	University of Pennsylvania
Eytan Shapiro and Lesley-Anne Gliedman	2021	University of Pennsylvania
Alan Shen and Jenny Yu	2023, 2025	University of Pennsylvania
James and Devereux Socas	2022	University of Pennsylvania
Andrew and Rebecca Stein	2025	University of Pennsylvania
David and Pamela Ulich	2021	University of Pennsylvania
Lisa Walker and William Rudnick	2024	University of Pennsylvania
Andy Wei and Julie Liu	2024	University of Pennsylvania
Bill Wolf and Meredith Bluhm-Wolf	2024	University of Pennsylvania

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
John and Rachel Young	2020, 2022, 2024	University of Pennsylvania
Sten Gustafson and Sofia Adrogue	2022, 2026	Rice University
Read and Trish Ballew	2020	Rice University
Tim and Lisa Blazer	2021	Rice University
Bart and Val Broadman	2017, 2019, 2022	Rice University
Harlan Coben and Anne Armstrong-Coben	2019, 2022	Rice University
Monisha Gupta	2018	Rice University
Tommy Huie and Janet Wong-Huie	2016, 2020	Rice University
Jean Lin	2018	Rice University
Milinda McNeely	2022	Rice University
Jason and Michelle Robertson	2018	Rice University
Daniel Sayre	2021	Rice University
Michael and Janet Scott	2017, 2020	Rice University
Ron Slimp	2021	Rice University
Atul Varadhachary	2018	Rice University
Katherine Warren	2015, 2019	Rice University
Linda Yau	2020, 2022	Rice University
Steven and Ellen Adams	2011, 2014	Vanderbilt University
Bruce and Debra Alper	2015	Vanderbilt University
Stephen and Anna Avera	2016	Vanderbilt University
Lee and Ramona Bass	2010	Vanderbilt University
Steven and Lauren Beck	2015	Vanderbilt University
Rhett and Ann Bentley	2014, 2016	Vanderbilt University
Even Bernstein and Krysten Ericson	2016	Vanderbilt University
Lorna Boich	2015	Vanderbilt University
Stephen and Gail Brookshire	2010	Vanderbilt University
Alvin Brown and Yolanda Ferrell-Brown	2014	Vanderbilt University
Roe and Ruth Buckley	2016	Vanderbilt University
Mark and Judith Buono	2013, 2016	Vanderbilt University
John and Wilma Byrunes	2013	Vanderbilt University
Ben and Leigh Carpenter	2011	Vanderbilt University
Brad and Wendy Chayet	2012	Vanderbilt University
Rob and Poppy Clements	2013, 2015	Vanderbilt University
Peter Collery and Alison Adams	2013	Vanderbilt University
James and Rebecca Craig	2013	Vanderbilt University
Daniel and Ellen Crown	2015	Vanderbilt University
Tom and Georgia Davis	2014	Vanderbilt University
William and Cynthia Davis	2015, 2016	Vanderbilt University
Claiborne and Elaine Deming	2006, 2012	Vanderbilt University
Mitchell and Marcy Dolins	2014	Vanderbilt University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Lawrence Dickerson and Marcela Donadio	2014	Vanderbilt University
Brady Dougan	2015	Vanderbilt University
Thomas and Rosemary Dowling	2015	Vanderbilt University
John and Frances Downing	2010, 2013	Vanderbilt University
Alan and Sherrie Eisenman	2015	Vanderbilt University
Charles and Ivette Esserman	2014	Vanderbilt University
Michael and Lida Exstein	2015	Vanderbilt University
Charles and Lora Farkas	2015	Vanderbilt University
Jay and Patty Fischhoff	2013	Vanderbilt University
Lawrence and Maria Elena Fisher	2014	Vanderbilt University
William Ford	2016	Vanderbilt University
John and Laura Foster	2013	Vanderbilt University
James and Linda Garard	2013	Vanderbilt University
Robert and Stacey Gendelman	2012, 2016	Vanderbilt University
James and Mary Glerum	2015	Vanderbilt University
Allan Goldman	2013	Vanderbilt University
Williams Goodwyn Jr. and Maura Goodwyn	2013	Vanderbilt University
Warren Gorrell Jr. and Cathy Gorrell	2008	Vanderbilt University
Mark and Ellie Gottwald	2015	Vanderbilt University
Fred and Iris Green	2009, 2012, 2016	Vanderbilt University
Martin and Megan Gregor	2014, 2016	Vanderbilt University
Brian Allen Grove and Charlotte Sunderland Grove	2015	Vanderbilt University
Steven Grushkin	2005, 2009	Vanderbilt University
Lawrence and Mary Guevel	2015	Vanderbilt University
Susan Gurney	2013	Vanderbilt University
Scott and Sheryl Haberman	2013	Vanderbilt University
William and Victoria Hanlon	2011, 2013, 2016	Vanderbilt University
Curtis and Beth Harrell	2013, 2016	Vanderbilt University
John and Renee Hawkins	2016	Vanderbilt University
Harry and Bee Hawks	2015	Vanderbilt University
Gregory and Susan Hebrank	2014	Vanderbilt University
Michael and Lisa Heim	2016	Vanderbilt University
Kenneth and Leslie Heisz	2013	Vanderbilt University
Bruce and Vicki Heyman	2010, 2013	Vanderbilt University
John and Wendy Hills	2014	Vanderbilt University
Jay and Michaela Hoag	2015, 2017	Vanderbilt University
Peter and Lucy Holbrook	2013	Vanderbilt University
Jeff and Marissa Hollander	2014	Vanderbilt University
George and Hope Huber	2014	Vanderbilt University
Sam and Jan Hunsaker	2016	Vanderbilt University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Gary and Lisa Hurwitz	2013, 2015	Vanderbilt University
Diana Hudson and Lee Kaplan	2012	Vanderbilt University
Steven and Jenny Hufford	2015	Vanderbilt University
Gregory and Tracey Iglehart	2014	Vanderbilt University
Surendra and Kala Jain	2014	Vanderbilt University
Susan Johns	2016	Vanderbilt University
William Johnston and Ronda Stryker	2013	Vanderbilt University
Michael and Beth Jones	2014	Vanderbilt University
Jed and Terri Kaminetsky	2015	Vanderbilt University
Scott and Kathleen Kapnick	2016	Vanderbilt University
Donald and Diane Kane	2008, 2012	Vanderbilt University
Paul and Sarah Karon	2014	Vanderbilt University
David and Darcie Kent	2013	Vanderbilt University
Richard and Terri Kim	2015	Vanderbilt University
Howard and Shelly Kivell	2013	Vanderbilt University
Daniel and Robin Klaes	2012	Vanderbilt University
Charles and Charlotte Kline	2014	Vanderbilt University
Douglas and Susan Kline	2015	Vanderbilt University
Michael Kluger and Heidi Greene	2014	Vanderbilt University
Michael and Elizabeth Kojaian	2013	Vanderbilt University
John and Helen Kornblum	2010, 2014	Vanderbilt University
Jeremy Kramer and Dorothy Davies	2015	Vanderbilt University
Spencer and Rhonda Kravitz	2009, 2010	Vanderbilt University
Charles Kurz	2004	Vanderbilt University
Edward and Jill Kutchin	2015	Vanderbilt University
Michael Lesser and Mindy Schneider	2015	Vanderbilt University
Stephen and Sue Libowsky	2012, 2015	Vanderbilt University
Steve and Shelli Lindley	2014	Vanderbilt University
Hays and Allyson Lindsley	2014	Vanderbilt University
Jack and Karen Linville	2010, 2014	Vanderbilt University
Rob and Susan Long	2015	Vanderbilt University
Edwin and Elizabeth Mahoney	2014	Vanderbilt University
David and Tammie Maloney	2013	Vanderbilt University
Robert and Brenda Manard	2013	Vanderbilt University
Mary Lou Manus	2014	Vanderbilt University
Steve and Julie Maroda	2012, 2013	Vanderbilt University
George and Susan Matelich	2011, 2013	Vanderbilt University
Maryk and Patricia Mays	2013, 2015	Vanderbilt University
Andrew and Lucy McCain	2014	Vanderbilt University
Ronald and Diana McCall	2013	Vanderbilt University
Eugene McCarron and Eve D'Amato	2014	Vanderbilt University
Thomas and Paula McCloskey	2014	Vanderbilt University
David and Nicki McDonald	2011	Vanderbilt University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Suzanne and Patrick McGee	2015, 2016	Vanderbilt University
John and Alex Mosko	2011	Vanderbilt University
Nancy Mulford	2012	Vanderbilt University
Richard and Denise Neibart	2015	Vanderbilt University
John and Lisa Nevins	2014	Vanderbilt University
Craig and Sally Nordlund	2009, 2012	Vanderbilt University
James and Denise Offerdahl	2015	Vanderbilt University
David and Mimi Olson	2014	Vanderbilt University
Michael and Judy Orkin	2011	Vanderbilt University
Robert Pascucci and Lisa Puntillo	2015	Vanderbilt University
Scott and Courtney Pastrick	2009, 2010, 2014	Vanderbilt University
Brad and Susan Patt	2016	Vanderbilt University
Marshall and Dee Ann Payne	2010, 2014	Vanderbilt University
Leon and Julie Payne	2014	Vanderbilt University
H. Ross Perot Jr. and Sarah Fullinwider Perot	2009, 2013	Vanderbilt University
Gary and Cecilia Peters	2013	Vanderbilt University
William and Margaret Pfeiffer	2012	Vanderbilt University
Jeanne Phillips	2015	Vanderbilt University
Robert and Carroll Pierce	2013	Vanderbilt University
Reed and Pamela Pigman	2015	Vanderbilt University
Richard Pinney and Donna Morrell-Pinney	2013	Vanderbilt University
Drew and Susan Pinsky	2015	Vanderbilt University
Octavio and Jody Portu	2015	Vanderbilt University
John and Elizabeth Puckett	2014	Vanderbilt University
William and Kellye Pyle	2012	Vanderbilt University
Douglas and Jan Quartner	2013	Vanderbilt University
Steven and Janine Racanelli	2016	Vanderbilt University
Walter and Sue Rackowich	2013	Vanderbilt University
Ronald and Susan Raskin	2014	Vanderbilt University
Scott Ratner and Marjorie Van de Stouwe	2012, 2014	Vanderbilt University
Robert Reed and Susan Siegel	2016	Vanderbilt University
William and Caroline Reily	2013	Vanderbilt University
Patrick and Jen Robinson	2013	Vanderbilt University
Richard and Barbara Robinson	2015	Vanderbilt University
Brian and Mary Joe Rogers	2008, 2010	Vanderbilt University
James and Megan Rose	2014	Vanderbilt University
Lawrence and Alison Rosenthal	2011	Vanderbilt University
Bruce and Tina Ross	2010, 2012	Vanderbilt University
Felice and Melissa Rovelli	2016	Vanderbilt University
Richard and Amy Ruben	2012	Vanderbilt University



<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Mark and Jennifer Rubin	2014, 2016	Vanderbilt University
Steven and Angie Sall	2014	Vanderbilt University
Nathan and Karen Sandler	2015	Vanderbilt University
Jesse and Frances Sasser	2013	Vanderbilt University
Russell and Jolyn Scheirman	2014	Vanderbilt University
Gene and Sara Schindler	2014	Vanderbilt University
Edwin and Maureen Schloss	2013	Vanderbilt University
Steven and Roberta Schulman	2011, 2014, 2015	Vanderbilt University
Joseph and Jay Scoby	2015	Vanderbilt University
Neil and Michele Semel	2013	Vanderbilt University
Samuel and Karen Seymour	2015	Vanderbilt University
Henry Shaub and Jacqueline Sidi-Shaub	2007, 2010, 2014	Vanderbilt University
John and Christine Shippee	2015	Vanderbilt University
Kenneth and Carol Simon	2014	Vanderbilt University
Lisa Thompson Smith	2013	Vanderbilt University
Scott and Tammy Smith	2016	Vanderbilt University
Richard and Catharine Snowdon	2014	Vanderbilt University
Charles and Mary Soderstrom	2015	Vanderbilt University
Jeffrey and Allison Spencer	2016	Vanderbilt University
Adam Steiger	2014	Vanderbilt University
Gary and Tracy Stein	2014	Vanderbilt University
Stuart and Lisa Sternberg	2013	Vanderbilt University
Richard and Kay Straky	2014	Vanderbilt University
Keith and Cathleen Stock	2015	Vanderbilt University
Lawrence and Lauren Talve	2013	Vanderbilt University
Paul and Kimberly Tanico	2015	Vanderbilt University
Jack and Georgia Tauscher	2013, 2013	Vanderbilt University
John and Eileen Thornton	2013	Vanderbilt University
Carter and Laurie Todd	2009, 2010, 2012	Vanderbilt University
Steven Tomares	2013, 2015	Vanderbilt University
Trip and Kisha Trezevant	2013	Vanderbilt University
Byron and Tina Trott	2014	Vanderbilt University
Michael and Claire Van Konyneburg	2015, 2016	Vanderbilt University
Maria Vecchiotti	2015	Vanderbilt University
Sergio and Alice Viroslov	2015	Vanderbilt University
Gregory and Susan Voetsch	2016	Vanderbilt University
George Vuturo and Dorothy Wade-Vuturo	2013	Vanderbilt University
Alan and Beth Waldenberg	2014	Vanderbilt University
David and Nancy Waldenberg	2015	Vanderbilt University
Jeffrey and Tara Walker	2015	Vanderbilt University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Allen and Jennifer Weaver	2013	Vanderbilt University
Michael and Elizabeth Webb	2016	Vanderbilt University
Giffen and CiCi Weinmann	2011, 2013, 2015	Vanderbilt University
Edward Weisiger, Jr.	2012	Vanderbilt University
Eric and Nancy White	2016	Vanderbilt University
Mark Wilf	2024	Vanderbilt University
Richard Williams and Janet Lavine	2014	Vanderbilt University
Wendell and Carlotta Willkie	2011, 2013	Vanderbilt University
Jon and Abby Winkelried	2012, 2015	Vanderbilt University
Elizabeth Wright	2016	Vanderbilt University
Scott Wulfe	2014,	Vanderbilt University
Evan and Adina Zeppos	2014	Vanderbilt University
Kent and Amanda Adams	2015, 2020, 2020	Yale University
Jim and Susannah Adelson	2020	Yale University
Runa Alam and Ted Nist	2023, 2024	Yale University
Iosif and Liubov Bakaleynik	2024	Yale University
Vladimir and Olga Balaeskoul	2020, 2020	Yale University
Laura and Vincent Barletta	2025	Yale University
Boris and Constance Baroudel	2023	Yale University
Scott and Cheri Beck	2020	Yale University
Jeffrey and Janice Beckmen	2023, 2024	Yale University
David Belluck	2021	Yale University
Peter Bensinger and Heidi Wagman	2017 (also a YLS grad), 2020, 2022	Yale University
James Better and Nancy Marx Better	2017, 2019	Yale University
Christopher Bogart and Elizabeth O'Connell	2022	Yale University
Peter Bokor and Jeanne Blaustein	2021	Yale University
Leonard and Emily Blavatnik	2023, 2024	Yale University
Michel Brogard and Josyann Abisaab	2020	Yale University
Sean and Elizabeth Carney	2021, 2022	Yale University
Natarajan and Lalitha Chandrasekaran	2020	Yale University
Pedro Chomnalez and Maria Herrera	2017, 2023, 2025	Yale University
Samuel Chu and Pauline Lo	2023, 2024	Yale University
Tomas and Lourdes Maria Chuidian	2022	Yale University
Douglas and Melissa Cifu	2023, 2024	Yale University
Franklin Collins IV and Tracy Collins	2022, 2023	Yale University
Brahm Cramer and Dana Zucker	2022, 2025	Yale University
J. Hamilton Crawford III	2019	Yale University
Edwin and Carrie del Hierro	2023, 2024	Yale University
Elizabeth and Lucas Detor	2024	Yale University



<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
George and Jan DeVries III	2018	Yale University
Jeffrey Drubner and Sophie Sutton	2021	Yale University
William Elkus	2018	Yale University
Okechukwu and Funlola Enelamah	2023	Yale University
Steve Fallek and Susan Saltzstein	2023, 2024	Yale University
Yan Jin and Fan	2020	Yale University
Donald and Bridget Fawcett	2022, 2023	Yale University
John and Carol Finley	2020, 2022	Yale University
David and Victoria Foley	2022	Yale University
Raja and Kathryn Quadraccis Flores	2023	Yale University
Egene and Maria Frantz	2022	Yale University
David and E-Len Fu	2020, 2023, 2025	Yale University
Magomed Galaev and Anna Zelkina	2019	Yale University
Daniel and Diane Gainey	2023	Yale University
Jonathan and Amy Gallen	2022, 2023	Yale University
Mark Garber	2019	Yale University
Juan and Alejandra Garcia	2022	Yale University
David and Charlene Geffen	2019	Yale University
Paul Ginsburg and Nicole Felton	2018	Yale University
Bruce Goldsmith	2018	Yale University
Elizabeth Goodyear	2016, 2019	Yale University
Klaus and Catalina Grau	2022, 2025	Yale University
Jonathan and Mindy Gray	2021, 2023, 2024	Yale University
Lawrence Greenberg	2020, 2022	Yale University
Scott Greenberg	2020, 2022	Yale University
Harold and Robbin Gross	2022	Yale University
Carlos and Anna Guanche	2020	Yale University
Kenneth and Susan Hahn	2020	Yale University
Kevin and Michele Harrington	2018	Yale University
Bernd Haubold and Catalina Sanz de Santamaria	2019	Yale University
David Helfand and Leslie Bluhm	2020	Yale University
Gerald Hirsch and Barbara Simon-Hirsch	2024	Yale University
Mark Hoplamazian and Rachel Kohler	2020	Yale University
Ricardo Hornos and Lisa Kohl	2022, 2023	Yale University
Alessandro Horta	2023	Yale University
Wei Hu and Jingfan Zhang	2024	Yale University
Paul Huffard	2018	Yale University
Ellen Iseman	2020	Yale University
Robert and Amy Isom	2022	Yale University
Benjamin and Meredith Jenkins	2023, 2024	Yale University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Naveen and Shallu Jindal	2018, 2021	Yale University
Charles Johnson	2023, 2024	Yale University
Elizabeth Johnson	2021, 2022	Yale University
Gregory Johnson	2016, 2018	Yale University
Rhonda Kaufman and Lisa Shalett	2023	Yale University
Ajay and Mala Kalsi	2018, 2023	Yale University
John Kern Jr. and Katie Kern	2022, 2023	Yale University
Rob Ketterson	2021, 2022	Yale University
Shiv and Urvashi Rana Khemka	2020	Yale University
Victor and Gail Khosla	2021, 2023	Yale University
Lynn and Thomas King	2024	Yale University
Julius Kipngetich and Chemutai Murgor	2024	Yale University
Allan and Kate Latts	2023	Yale University
Kenneth Leet	2018	Yale University
Pablo and Almudena Legoretta	2023, 2024	Yale University
Matthew and Brenda Levatich	2017, 2020	Yale University
Yanxiu and Yingbo Li	2023	Yale University
Jeffrey Lipsitz and Allison Koffman	2019	Yale University
Anurag and Shweta Mahesh	2024	Yale University
Vikram Malhotra and Parveen Samra	2020, 2022	Yale University
John Marren	2019	Yale University
Craig and Laura Martin	2021	Yale University
Strive and Tsitsi Masiyiwa	2020	Yale University
Christopher McGowan and Sandy Wang	2023, 2024	Yale University
Colin and Anne McNay	2018, 2020, 2022	Yale University
Prakash and Anjali Melwani	2016, 2023	Yale University
Anupama and Manoj Menda	2024	Yale University
Lorne and Alice Michaels	2020	Yale University
Brian and Giovanna Miller	2022, 2023	Yale University
Marc and Lori Miller	2023	Yale University
Steve and Laurel Miranda	2022	Yale University
Neeraj and Renu Mital	2021, 2025	Yale University
Michael and Joan Mollerus	2021	Yale University
William Morneau and Nancy McCain	2021	Yale University
Kenneth and Julie Moore	2025	Yale University
James and Sheila Mossman	2019	Yale University
Allan and Nicole Mutchnik	2020, 2022	Yale University
Robert Nam and Yuna Lee	2023	Yale University
Lanham and Dacia Napier	2021, 2023	Yale University
Ray and Pamela Ng	2018	Yale University
Sandra O'Connor	2018	Yale University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Klaus and Sanne Oestergaard	2022, 2025	Yale University
Georgeo Papamarkakis and Dina Letrou	2021, 2024, 2025	Yale University
Salil and Shaleen Parekh	2023, 2024	Yale University
Sanjay Parthasarathy and Malini Balakrishnan	2020	Yale University
David Pesikoff and Nicole Longnecker	2021, 2023	Yale University
Clemente Pinedo	2020	Yale University
Karen Pritzker	2021	Yale University
Stephen Quazzo	2019	Yale University
Roger Rankin	2018	Yale University
Farzad Rastegar	2016, 2018	Yale University
Thomas and Susan Reinhart	2019, 2020	Yale University
Tom and Susan Reinhart	2020	Yale University
Xavier and Nicole Rolet	2023	Yale University
Pierpaolo Rossi and Linda Kung-Rossi	2021, 2024	Yale University
Andrew and Barbara Rothschild	2024	Yale University
Kenneth Rotman and Amy Kaiser	2023, 2024	Yale University
Jean and Melanie Salata	2023	Yale University
Michael and Amanda Salzhauer	2022, 2023	Yale University
Eric and Margaret Scheyer	2020	Yale University
Andreas and Sandra Schlaepfer	2023	Yale University
Joseph Schull and Anna Yang	2021	Yale University
Dwight Scott	2019	Yale University
David Shapiro and Abby Pogrebin	2021	Yale University
Michael and Amanda Salzhauer	2022	Yale University
Eric and Margaret Scheyer	2020	Yale University
Joseph Schull and Anna Yang	2021, 2022	Yale University
Nelson and Marianna Sendas	2023, 2025	Yale University
Ira and Bonnie Siegel	2015, 2023	Yale University
Sriram Sivaram and Priya Sriram	2022, 2023, 2025	Yale University
Richard and Deborah Smilow	2017, 2018	Yale University
David and Karen Sobotka	2019	Yale University
Jonathan Sokoloff	2011, 2013, 2016, 2019	Yale University
Claire Solot	2020	Yale University
Joan Solotar	2020	Yale University
Peter Soros	2009, 2020	Yale University
Lawrence Spera and Mieko Willoughby	2020	Yale University
Robert and Emily Spinna	2023	Yale University

<b>Parent Name(s)</b>	<b>Child(ren)'s Class Year(s)</b>	<b>Defendant University</b>
Joshua Steiner and Antoinette Delruelle	2021	Yale University
J. Daniel Swift and Julie Kohn	2019, 2021	Yale University
Gene and Tracy Sykes	2023, 2024	Yale University
Andrew Tisdale	2018	Yale University
James and Melissa Friedman	2025	Yale University
Willard and Anne Umphrey	2021, 2022	Yale University
Bennet Van de Bunt and Laura Fox	2021	Yale University
Peter and Elizabeth Vanderslice	2021	Yale University
David and Sandra Visher	2014, 2016, 2018, 2022	Yale University
Bryan and Carolina Vroon	2023, 2024	Yale University
Chaoyong Wang and Yifei Li	2015, 2016, 2023, 2024	Yale University
Edward and Lisandrea Weaver	2023	Yale University
Scott and Virginia Weisman	2020	Yale University
Brian Yoon and Mi-Hyung Kim	2021, 2023	Yale University
David Young and Amy Zhou	2016, 2018	Yale University
Alan and Judy Zafran	2019	Yale University
Ron Zeff	2018	Yale University

### CERTIFICATE OF SERVICE

I, Hope Brinn, an attorney, hereby certify that on September 19, 2022, I caused a true and correct copy of the foregoing PLAINTIFFS' FIRST SET OF REQUESTS FOR PRODUCTION to be served electronically by emailing it to the following counsel of record for Defendants:

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